

Republic of the Philippines

TANZA WATER DISTRICT

Tanza, Cavite

Strategic Performance Management System (SPMS)





Republic of the Philippines
CIVIL SERVICE COMMISSION – Region IV
Cavite Field Office
#108 LTO Compound, Palico IV, Imus, Cavite

June 24, 2014

Engr. MYRNA P. BOBADILLA

General Manager

Tanza Water District

Soriano Hi-way, Tanza, Province of Cavite

Attention: Ms. Karen P. Maestrado
Division Manager C-Admin./GS

Dear General Manager Bobadilla:

We are transmitting to your Office the attached letter dated June 3, 2014 from Regional Director Judith A. Chicano, with regard to the Strategic Performance Management System (SPMS) of the Tanza Water District, which was approved by the CSC Regional Office No. IV.

Thank you for your continued support to the programs of the CSC.

Very truly yours,

Charity F. Arevalo
CHARITY F. AREVALO
Director II



June 3, 2014

Engr. MYRNA P. BOBADILLA
General Manager
Tanza Water District
Soriano Hi-Way, Tanza, Province of Cavite

Dear **General Manager Bobadilla**:

This refers to the documents submitted relative to the pilot testing of the Strategic Performance Management System (SPMS) in your agency in the first semester of 2013.

After careful review and evaluation, we found the pilot testing phase substantially compliant with the guidelines set and prescribed under Civil Service Commission Memorandum Circular No. 6 s. 2012. Hence, your SPMS is hereby approved, subject to the enhancement of the Success Indicators of the MFOs which should indicate the three measures: quality, efficiency and timeliness and the re-computation of the ratings in accordance with the Modification of Range of Adjectival Rating on MC No. 13 s. 1999 specifically:

2. Modification of Range of Adjectival Rating

The range of each adjectival rating or numerical rating shall be modified as follows:

Outstanding – performance exceeding targets by 30% and above of the planned targets; from the previous definition of performance exceeding targets by at least 50%.

Very Satisfactory – performance exceeding targets by 15% to 29% of the planned targets; from the previous range of performance exceeding targets by at least 25% but falls short of what is considered an outstanding performance.

Satisfactory – performance of 100% to 114% of the planned targets. For accomplishments requiring 100% of the targets such as those pertaining to money or accuracy or those which may no longer be exceeded, the usual rating of either 10 for those who met targets or 4 for those who failed or fell short of the targets shall still be enforced.

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Responsive, Accessible, Courteous and Effective Public Service*

Unsatisfactory – performance of 51% to 99% of the planned targets.

Poor – performance failing to meet the planned targets by 50% or below

Please be reminded that should there be any changes or amendments in your SPMS in the future, the Commission must be informed. Likewise, please make available a copy of this System to our PRIME-HRM Assessment Team during assessment activity.

Thank you for your continued support and cooperation to the programs and projects of the Commission.

Very truly yours,



Atty. JUDITH A. DONGALLO-CHICANO
Director IV

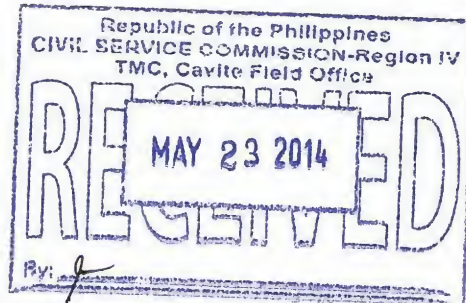
PSED/JDC/APT/LLM/rhrz



Republic of the Philippines
TANZA WATER DISTRICT
A. Soriano Highway, Tanza, Cavite
Tel. Nos.: (046) 484-1813 / (046) 505-2906

May 21, 2014

ATTY. JUDITH A. DONGALLO - CHICANO
Director IV
Civil Service Commission Regional Office No. 4
139 Panay Avenue, Quezon City



Thru: **MS. CHARITY F. AREVALO**
Director II
Civil Service Commission Field Office
Trece Martires City, Cavite

Dear Director Chicano:

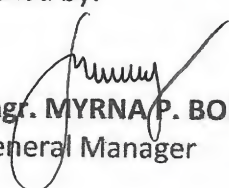
We are submitting herewith copy of the Strategic Performance Management System (SPMS) manual of Tanza Water District (TWD) for your final approval.

Thank you very much.

Very truly yours,


KAREN P. MAESTRADO
Division Manager C – Admin / GS

Noted by:


Engr. MYRNA P. BOBADILLA
General Manager



Republic of the Philippines
TANZA WATER DISTRICT
A. Soriano Highway, Tanza, Cavite
Tel. Nos.: (046) 484-1813 / (046) 505-2906

May 21, 2014

ATTY. JUDITH A. DONGALLO - CHICANO

Director IV

Civil Service Commission Regional Office No. 4
139 Panay Avenue, Quezon City



Thru: MS. CHARITY F. AREVALO

Director II

Civil Service Commission Field Office
Trece Martires City, Cavite

Dear Director Chicano:

Good day!

The Tanza Water District (TWD), after having completed the process of pilot-testing of our conditionally approved SPMS Manual, hereby submits its result – including copies of OPCR's, IPCR's and other pertinent documents for your evaluation and approval.

On our letter dated May 3, 2013, it was stated that our pilot-testing will be covering the period May to June 2013 only and that the whole SPMS process are expected to be realized by July 2013. However, as the process began, we realized that the above-mentioned period was not enough to justify the reliability of our SPMS. We therefore agreed to have the period January – June 2013 instead as the basis for our pilot-testing.

We apologize for the delay of submission of the result of pilot-testing – taking about two (2) years for its completion. After our pilot-testing, wherein we found some areas that need to be reviewed again, it took us a while to give our attention again on the matter. It is for these reasons that our SPMS was kept idle for quite sometime:

1. Most of the PMT Members are also part of other existing committees in the office. Their attention focused on projects and other issues that need to be addressed.
2. All divisions failed to submit the edited OPCR's and IPCR's on time because of the bulk in their work load.

3. During the last quarter of the year, the preparation for the retirement of Engr. Ricardo R. Pulido, former General Manager of TWD was given more attention.
4. The whole Tanza Water District is still on its adjustment period brought about by the appointment of the new General Manager.

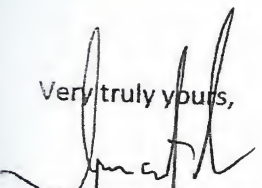
Further, the manual contains some amendments arrived at after having concluded our pilot-testing.

- a. Item II SPMS Mechanics of Rating
 - Rating scale for QUALITY / EFFECTIVENESS was added.
 - Computation of percentage allocation if one (1) or two (2) of the three (3) components are not present was included.
 - Rating scale for EFFICIENCY / QUANTITY included guidelines of grading fixed science (reports).
- b. Revision of OPCR and IPCR Forms
- c. Revision of SPMS Calendar
- d. Revision on the Major Final^h Outputs Table

All the necessary documents needed to justify our request for the final approval of our SPMS Manual are attached for your evaluation and reference.

We are looking forward for your favorable consideration on this matter. Rest assured that we would always support all your programs in order to bring responsive changes in our bureaucracy.

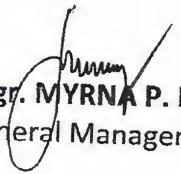
Very truly yours,



KAREN P. MAESTRADO

Division Manager C – Admin / GS

Noted by:



Engr. MYRNA P. BOBADILLA

General Manager



Republic of the Philippines
TANZA WATER DISTRICT
A. Soriano Highway, Tanza, Cavite
Tel. Nos.: (046) 484-1813 / (046) 505-2906

02 August 2012

Ms. FE P. LACABA
Director II
Civil Service Commission Field Office
Trece Martires City, Cavite



Dear **Director Lacaba**:

We are submitting herewith copy of the Strategic Performance Management System (SPMS) Manual of Tanza Water District (TWD) for your evaluation.

Thank you.

Respectfully yours,

KAREN P. MAESTRADO
ASA – A / Acting HRMO

Noted by:

MIRA IRIS H. ARENAL
Officer-in-Charge



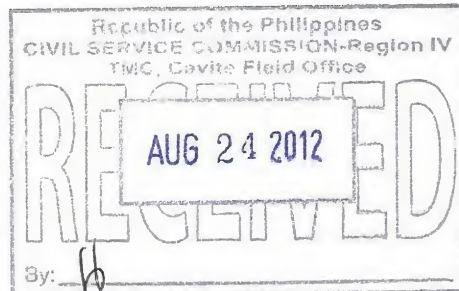
Republic of the Philippines
TANZA WATER DISTRICT
A. Soriano Highway, Tanza, Cavite
Tel. Nos.: (046) 484-1813 / (046) 505-2906

24 August 2012

Ms. LYDIA V. CASTILLO

Director IV

Civil Service Commission Regional Office No. 4
139 Panay Avenue, Quezon City



Thru: **Ms. FE P. LACABA**

Director II

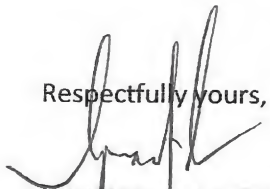
Civil Service Commission Field Office
Trece Martires City, Cavite

Dear Director Castillo,

We are submitting herewith copy of the Strategic Performance Management System (SPMS) Manual of Tanza Water District (TWD) for you evaluation.


Thank you.

Respectfully yours,


KAREN P. MAESTRADO
ASA – A / Acting HRMO



Noted by:

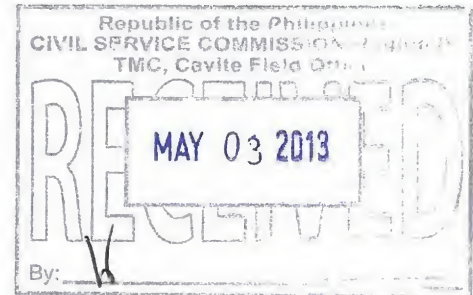

MIRA IRIS H. ARENAL
Officer –in-Charge



Republic of the Philippines
TANZA WATER DISTRICT
A. Soriano Highway, Tanza, Cavite
Tel. Nos.: (046) 484-1813 / (046) 505-2906

May 03, 2013

MS. CHARITY F. AREVALO
Director II
Civil Service Commission Field Office
Trece Martires City, Cavite



Dear Director Arevalo:

This is in reply to your letter dated April 24, 2013, received by our office on April 29, 2013 regarding the status of implementation of our agency's Strategic Performance Management System (SPMS). We would like to inform your good office that:

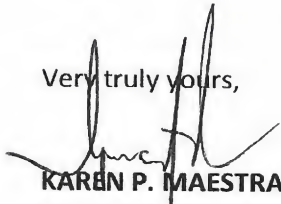
1. Office Order Nos. 06 and 07 s. 2012 dated July 27, 2012 were issued and received by all the members of our Performance Management Team (PMT) and PMT Secretariat respectively. They were likewise oriented on their duties and responsibilities. Attached are photocopies of the said office order for your reference.
2. The handwritten notes in the system were already incorporated.
3. On November 23, 2012, we conducted our SPMS orientation with our employees. They were introduced to the new evaluation system – its objectives, the reasons why there is a need to change the existing Performance Evaluation System (PES), its whole process, that the composition of the team will be responsible for ensuring proper implementation and the benefits of implementing such not only to the employees but to the divisions and the agency in general. New forms that will be used were also presented and they were taught how to properly accomplish them.

To date, we are currently on our pilot-testing. Division heads were tasked to prepare the list of all major final outputs (MFOs) and set targets of their divisions for the period May-June 2013. After June 2013, the Individual Performance Commitment and Review Form (IPCRs) and Office Performance Commitment and Review Form (OPCRs) are to be submitted for review by the PMT Secretariat and the whole SPMS process are expected to be realized by July 2013.

TWD COPY

We trust that we have satisfactorily responded to the real meaning of your Program and that all government agencies in Cavite will be adapting the same. Rest assured that we would always support all your programs in order to bring responsive changes in our bureaucracy.

Very truly yours,



KAREN P. MAESTRADO

Division Manager C – Admin / GS

Noted by:



Engr. RICARDO R. PULIDO

General Manager



Republic of the Philippines
CIVIL SERVICE COMMISSION – Region IV
Civil Service Commission – Cavite
#188 LTO Camp, Palico IV, Imus Cavite 046-4719288/
Prov'l Capitol Compound, San Agustin, Trece Martires City 046-4192534

*SPMS
comply*

April 24, 2013

ENGR. RICARDO R. PULIDO
General Manager
Tanza Water District
Municipality of Tanza
Province of Cavite

Attention: Ms. Karen P. Maestrado
Division Manager C

Dear Engr. Pulido:

This refers to your Agency's Strategic Performance Management System (SPMS) which was conditionally approved by the CSC Regional Office No. IV last September 19, 2012 for initial implementation subject to compliance with the following conditions:

1. An Administrative Order shall be issued by the General Manager to those who will compose the Performance Management Team (PMT) found in page 7 which will form part of the System. The PMT shall perform the tasks enumerated in the System;
2. Incorporate the handwritten notes in the System; and
3. Conduct an orientation to all officials and employees on the SPMS

In this regard, may we request your Office to submit a report on the extent of compliance of Tanza Water District on the above conditions, and the status of the initial implementation of your Agency's SPMS which will be the basis for the final approval of the same.

We would appreciate receiving your response five (5) days upon receipt of this request.

Thank you.

Very truly yours,

Charity F. Arevalo
CHARITY F. AREVALO
Director IIQ



Republic of the Philippines
TANZA WATER DISTRICT
A. Soriano Highway, Tanza, Cavite
Tel. Nos.: (046) 484-1813 / (046) 505-2906

May 07, 2013



ATTY. JUDITH A. DONGALLO - CHICANO

Director IV

Civil Service Commission Regional Office No. 4
139 Panay Avenue, Quezon City

Thru: **MS. CHARITY F. AREVALO**

Director II

Civil Service Commission Field Office
Trece Martires City, Cavite

Dear Director Chicano:

We are re-submitting herewith the edited copy of the Strategic Performance Management System (SPMS) manual of Tanza Water District (TWD) wherein we have incorporated all your office's noted rectifications.

Thank you very much.

Very truly yours,

KAREN P. MAESTRADO

Division Manager C – Admin / GS



Noted by:

Engr. RICARDO R. PULIDO
General Manager



Republic of the Philippines
CIVIL SERVICE COMMISSION – Region IV
Civil Service Commission – Cavite
#108 LTO Cmpd., Palico IV, Imus Cavite 046-4719288/
Prov'l Capitol Compound, San Agustin, Trece Martires City 046-4192534

November 22, 2013

Engr. RICARDO R. PULIDO
General Manager
Tanza Water District
A. Soriano Highway, Tanza
Province of Cavite

Attention: Ms. Karen P. Maestrado
Division Manager C

Dear General Manger Pulido:

We are transmitting to your Office the Agency Strategic Performance Management System (SPMS) of the Tanza Water District which was **conditionally approved** by the CSC Regional Office No. IV for initial implementation subject to the submission of the following documents:

1. Sample copies of Office Performance Commitment and Review (OPCR) / Individual Performance Commitment and Review (IPCR);
2. Accomplishments of your officials and employees with the corresponding ratings;
3. Minutes of Review / Assessment conducted by the Performance Management Team;
4. Other forms such as accomplished Performance Management Form, Coaching Form, and Professional Development Plan.

For further clarification or technical assistance, please feel free to coordinate with this Field Office.

Thank you for your continued support to the programs of the CSC.

Very truly yours,


CHARITY F. AREVALO
Director II

Engr. RICARDO R. PULIDO
General Manager
Tanza Water District
A. Soriano Highway, Tanza
Province of Cavite

Attention: Ms. KAREN P. MAESTRADO
Division Manager C – Administrative / GS

Dear Manager Pulido:

This refers to your agency's Strategic Performance Management System (SPMS) submitted to this Office for final approval.

After a careful review and evaluation, we found that your agency's SPMS has considerably satisfied the guidelines set and prescribed under Civil Service Commission Memorandum Circular No. 6, s. 2012.

However, we have noted that in your letter with the CSCFO-Cavite thru Director II Charity F. Arevalo, the pilot testing of your SPMS was administered from May to June 2013. In this regard, sample copies of Office Performance Commitment and Review (OPCR) / Individual Performance Commitment and Review (IPCR) targets and accomplishments of your officials and employees with the corresponding ratings indicated therein including the minutes of review/assessment conducted by the Performance Management Team (PMT) should be submitted for evaluation by this Regional Office. Likewise, other forms such as the accomplished Performance Monitoring Form, Coaching Form, Professional Development Plan should as well be submitted.

Before we take final action on your request, please submit at the soonest possible time the above mentioned documents as proof that this SPMS is being administered and pilot tested in your agency.

Thank you for your continued support and cooperation to the implementation of this HR initiative of the Commission.

Very truly yours,


Atty. JUDITH A. DONGALLO-CHICANO
Director IV

JDC/FOM/LLM/msm
HR Systems Review.SPMS

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Republic of the Philippines
TANZA WATER DISTRICT
A. Soriano Highway, Tanza, Cavite
Tel. Nos.: (046) 484-1813 / (046) 505-2906

May 07, 2013

ATTY. JUDITH A. DONGALLO - CHICANO

Director IV

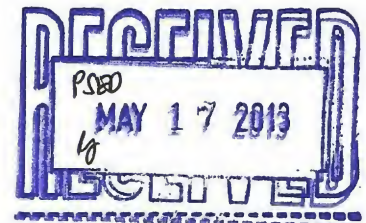
Civil Service Commission Regional Office No. 4
139 Panay Avenue, Quezon City



Thru: MS. CHARITY F. AREVALO

Director II

Civil Service Commission Field Office
Trece Martires City, Cavite



Dear Director Chicano:

We are re-submitting herewith the edited copy of the Strategic Performance Management System (SPMS) manual of Tanza Water District (TWD) wherein we have incorporated all your office's noted rectifications.

Thank you very much.

Very truly yours,

KAREN P. MAESTRADO

Division Manager C – Admin / GS

Noted by:

Engr. RICARDO R. PULIDO
General Manager

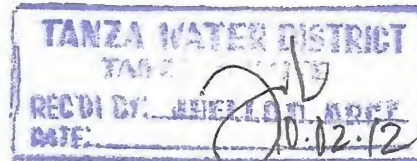


Republic of the Philippines
CIVIL SERVICE COMMISSION
Regional Office No. 4
FIELD OFFICE OF RIZAL

KPM
pr. proposal
rec. done

September 19, 2012

MS. MIRA IRIS H. ARENAL
Officer-In-Charge
Tanza Water District
Municipality of Tanza
Province of Cavite



Attention: Ms. Karen P. Maestrado
Acting Human Resource Management Officer

Dear **OIC Arenal**:

This refers to your agency's Strategic Performance Management System (SPMS) submitted to this Office for approval.

After a careful review and evaluation, we found that your agency's SPMS has substantially complied with the guidelines set and prescribed under Civil Service Commission Memorandum Circular No. 6, s. 2012. Hence, the same is hereby conditionally approved for use and may now be disseminated and implemented to all officials and employees subject to compliance with the following:

1. An Administrative Order shall be issued by the General Manager to those who will compose the Performance Management Team (PMT) found in page 7 which will form part of the System. The PMT shall perform the tasks enumerated in the System;
2. Incorporate the handwritten notes in the System; and
3. Conduct an orientation to all officials and employees on the SPMS (ie. How the System links individual performance from that of organizational performance, and the Result-Based Performance Monitoring System).

Further, please make available copies of this System to any PRIME HRM Assessment Team's representative of this Office for future assessment activity.

Thank you for your continued support and cooperation to the programs and projects of the Commission.

Very truly yours,



LYDIA A. CASTILLO
Director IV

PSED/LAC/LFBR/FLS
HR Systems



Republic of the Philippines
TANZA WATER DISTRICT
A. Soriano Highway, Tanza, Cavite
Tel. Nos.: (046) 484-1813 / (046) 505-2906

24 August 2012

Ms. LYDIA V. CASTILLO
Director IV
Civil Service Commission Regional Office No. 4
139 Panay Avenue, Quezon City

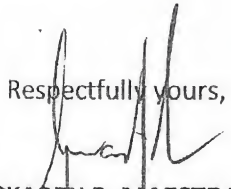
Thru: **Ms. FE P. LACABA**
Director II
Civil Service Commission Field Office
Trece Martires City, Cavite

Dear Director Castillo,

We are submitting herewith copy of the Strategic Performance Management System (SPMS) Manual of Tanza Water District (TWD) for you evaluation.

Thank you.

Respectfully yours,


KAREN P. MAESTRADO
ASA – A / Acting HRMO

Noted by:


MIRA IRIS H. ARENAL
Officer –in-Charge

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HISTORY

The **TANZA WATER DISTRICT (TWD)** was established under the provisions of Resolution No. 10-A, duly approved by the Sangguniang Bayan on March 24, 1988. On September 2, 1988, Local Water Utilities Administration (LWUA) issued a Conditional Certificate of Conformance (CCC) No. 358 to the water agency. The ground breaking ceremony followed on September 17, 1988 and it started its full operation on August 1, 1995 with Pumping Station (PS) No. 1 as the main source of water supply. PS No. 1 is located at the back of the municipal hall of Tanza.

Pumping Station No. 2 at Brgy. Daang Amaya was inaugurated on April 26, 2001 to provide additional source of water.

St. Augustine Village, one of the subdivisions in Tanza was turned-over to the District for its smooth operation on October 15, 2001. Summercrest and Hauskon Subdivisions soon followed on March 26, 2003 and August 15, 2003 respectively.

Pumping Station No. 6 at Brgy. Mulawin was inaugurated on December 8, 2005 to supply water to additional four (4) barangays included in the expansion project.

TWD started from Small water district category and gradually recategorized until it reached the Big category last September 19, 2005. It has been performing well for years now, as evidenced by different recognitions, supported by a number of awards received. It has been recognized as the Most Outstanding Water District Nationwide for the year 2004. In 2005, it was awarded as Outstanding Water District for Big Category in Luzon and Special Award for Lowest Non-Revenue Water in 2006. In 2007, it was given Special Award for Creditworthy Water Supply Providers; Special Award for Low Revenue Water; and Special Award for High Collection Efficiency.

The Management of Tanza Water District doesn't stop from improving, developing and seeking viable techniques as well as solutions for the betterment of quality service to all its concessionaires. It also believes that endless effort, team building, employees' motivation and efficient customer service marks continuous development and signs the progress of the District's operation.

MISSION STATEMENT

The **TANZA WATER DISTRICT** is committed to provide adequate, safe, potable and affordable water to the full satisfaction of all the people of the town of Tanza.

VISION STATEMENT

The **TANZA WATER DISTRICT** envisions itself as a service oriented, socially responsible institution providing sufficient supply of water to all barangays of Tanza by properly utilizing and preserving its water resources and improving and safeguarding its assets through its professional and dedicated workforce, thereby delivering effective and efficient public service to all.

STRATEGIC OBJECTIVES

1. Deliver effective and efficient public service.
2. Ensure financial viability through sound accounting practice.
3. Properly utilize and protect water sources and facilities.
4. Widen service coverage in terms of increase in number of households served.
5. Strengthen partnerships and linkages with other organizations through initiating projects and programs towards community development.

TANZA WATER DISTRICT

STRATEGIC PERFORMANCE MANAGEMENT SYSTEM (SPMS)

In line with the Guidelines in the Establishment and Implementation of Agency Strategic Performance Management System enunciated under Civil Service Commission (CSC) Resolution No. 1200481 promulgated March 16, 2012 and CSC Memorandum Circular No. 6, series of 2012, the Tanza Water District hereby adopts the herein Strategic Performance Management System.

Part 1: The SPMS

I. Introduction

Human resources are agency's most valuable, if not critical, asset. They are the backbone of every organization. They define and represent efficiency, effectiveness and the over all quality of service in any industry, most of all the government. Therefore, the need to establish a system that ensures not only the quality of performance of its workers but also the interrelation of accomplished outputs and outcomes which flowed from the organization's vision and mandate or reason of existence.

While policies and systems for employee performance evaluation have long been in place in government, it must be give way to various strategic shifts such as the performance management which puts emphasis on major final outputs and outcomes, use of success indicators (measures and targets) in measuring results, and the interventions in development planning.

II. Definition of Terms

The different terms used in this manual are operationally defined as follows:

Agency. This refers to **TANZA WATER DISTRICT (TWD)**, a government owned and controlled corporation duly organized and existing under and by virtue of Presidential Decree No. 198.

Coaching. This is a critical function of Heads of Offices aimed at empowering and helping individual employees in their work assignments.

Competency Assessment. Observable, measurable and vital behavioral skills knowledge and personal attributes that are translations or organizational capabilities deemed essential for success. It should be identified for a particular position or job family.

Core Functions. Those performed by the Office which are inherent in its mandates.

Critical Incidents. Records of events, happenings or actual information affecting the overall accomplishments of the employee during the particular rating period.

Head of Office. An employee designated to oversee and manage an office and its employees in the agency. He / she shall ensure that functions of the said office are carried out and performed well. He / she may also be referred to as "supervisor or division head".

Major Final Outputs (MFOs). Goods and services that an agency / office is mandated to deliver to external clients through the implementation of programs, activities and projects.

Monitoring. May be conducted through meetings, one-on-one discussions, memorandum and review of pertinent documents such as reports and communications and tracking forms to ensure timely completion and quality execution of deliverables.

Office. A unit in the agency tasked to perform functions aligned to the agency's overall objectives. It may refer to "division".

OPES points. The time within which an output will be produced by an average performer.

Performance Measures. Performance level yardsticks computed through the units of work measurements and according to their functions.

Performance Targets. Goals intended to be attained (and which is believed to be attainable).

Ratee. The one being rated by the rater. His performance will be assessed by the rater.

Rater. The one who will rate the employees' performance based on records of accomplishments. He is the head of the particular office where the employee is assigned.

SPMS Calendar. The timetable for the preparation, review and approval of performance targets, standards, and ratings.

Success Indicators. Characteristics, property or attribute of achievements, accomplishments or effectiveness in the fulfillment of work plans for the year. These shall consist of performance measures and performance targets.

Support Functions. Functions that provide necessary resources to enable the agency to effectively perform its mandate.

III. The SPMS Concept

The SPMS is focused on linking individual performance vis-à-vis agency's organizational vision, mission, and strategic goals. It is envisioned as a technology composed of strategies, methods and tools for ensuring fulfillment of the functions of the offices and its personnel as well as for assessing the accomplishments.

It is a mechanism that ensures that the employee achieves the objectives set by the organization and the organization, on the other hand, achieves the objectives that it has set itself in its strategic plan.

Performance management system is the heart of the human resource system because information produced from it is useful in human resource planning, management and decision making processes.

The SPMS follows the four-stage PMS cycle: performance planning and commitment, performance monitoring and coaching, performance review and evaluation, performance rewarding and development planning.

To complement and support the SPMS, the following enabling mechanisms must be present, operational and maintained:

- A Recruitment System that identifies competencies and other attributes required for particular jobs or functional groups;
- An adequate Rewards and Incentives System;
- Mentoring and coaching program;

- Job competency standards in determining the necessary Human Resource (HR) interventions to address competency gaps;
- An Information Community Technology (ICT) that supports project documentation, knowledge management, monitoring and evaluation;
- Change management program; and
- Policy review and formulation.

IV. General Objectives

The core objective of the SPMS is to provide the means through which better results can be obtained from the organization, offices, and individuals by managing performance. Specifically, the SPMS shall be prepared and administered to:

- a. Concretize the linkage of organizational performance with the Philippine Development Plan, the Agency Strategic Plan, and the Organizational Performance Indicator Framework;
- b. Ensure organizational effectiveness and improvement of individual employee efficiency by cascading institutional accountabilities to the various levels of the organization anchored on the establishment of rational and factual basis for performance targets and measures;
- c. Link performance management with other HR systems and ensure adherence to the principle of performance-based tenure and incentive system;
- d. Improve office and individual performance through systematic approach via an ongoing process of establishing strategic performance objectives, measuring performance, and collecting, analyzing, reviewing, and reporting performance data; and
- e. Align individual and office performance with the organization's strategic goals / vision putting premium on performance results of the organization.

V. Basic Elements

The SPMS shall include the following basic elements:

- a. **Goal Aligned to Agency Mandate and Organizational Priorities.** Performance goals and measurement are aligned to the national development plans, agency mandate / vision / mission and strategic priorities and /or organizational performance indicator framework. Standards are pre-determined to ensure efficient use and management of inputs and work processes. These standards are integrated into the success indicators as organizational objectives are cascaded down to operational level.
- b. **Outputs / Outcomes-based.** The system puts premium on major final outputs that contributes to the realization of organizational mandate, mission / vision, strategic priorities, outputs and outcomes.
- c. **Team-approach to performance management.** Accountabilities and individual roles in the achievement of organizational goals are clearly defined to give way to collective goal setting and performance rating. Individual's work plan or commitment and rating form is linked to the division / unit / office work plan or commitment and rating form to establish clear linkage between organizational performance and personnel performance.
- d. **User-friendly.** The forms used for both the organizational and individual performance are similar and easy to accomplish. The organizational and individual major final outputs and success indicators are aligned to facilitate cascading of organizational goals to the individual staff members and the harmonization of organizational and individual performance ratings.
- e. **Information System that supports Monitoring and Evaluation.** Monitoring and Evaluation mechanisms and Information System are vital component of the SPMS in order to facilitate linkage between organizational and employee performance. The M&E and Information System will ensure generation of timely, accurate, and reliable information for both performance monitoring/tracking, accomplishment reporting, program improvement and policy decision-making.
- f. **Communication Plan.** A program to orient agency officials and employees on the new and revised policies on SPMS as a management tool for performance planning, control and improvement, and guarantee employees' internalization of their role as partners of management and co-employees in meeting organizational performance goals.

VI. Key Players and Responsibilities

The success of the SPMS relies on the people who are responsible for implementing it. Although all employees of an organization are important in the realization of the organizational goals, the creation of Performance Management Team that will oversee the implementation of the SPMS will be critical to the success of SPMS.

a) SPMS Champion (General Manager)

- Primarily responsible and accountable for the establishment and implementation of the SPMS.
- Sets agency performance goals /objectives and performance measures.
- Determines agency target setting period.
- Approves office performance commitment and rating.
- Assesses performance of Offices.

b) Performance Management Team (PMT). The TWD has established its PMT with the following composition:

- 1) Executive official designated by the Head of Agency as Chairperson
- 2) Highest Human Resource Management Officer or the career service employee directly responsible for human resource management
- 3) Highest Human Resources Development Officer or the career service employee directly responsible for personnel training and development
- 4) Highest Planning Officer or the career service employee directly responsible for organizational planning
- 5) Highest Finance Officer or the career service employee directly responsible for financial management
- 6) President of the accredited employee association in the agency or the authorized alternate representative. In offices where there are no accredited or recognized employee associations/unions, the rank and file representative shall be chosen through a general election or assembly.

As per Board Resolution No. 20 - 2012, the Performance Management Team (PMT) in Tanza Water District shall be composed of the following:

- | | | |
|-------------------------|---|------------------------------|
| 1) Karen P. Maestrado | - | Chairperson |
| 2) Melanie P. Bobadilla | - | Member |
| 3) Mira Iris H. Arenal | - | Member |
| 4) Esmael A. Cesa | - | Member |
| | | Rank and file representative |

The PMT shall have the following functions and responsibilities:

- Sets consultation meeting of all Heads of Offices for the purpose of discussing the targets set in the office performance commitment and rating form.
- Ensures that Office performance targets and measures, as well as the budget are aligned with those of the agency and that work distribution of Offices is rationalized.
- Recommends approval of the office performance commitment and rating to the General Manager.
- Acts as appeals body and final arbiter for performance management issues of the TWD.
- Identifies potential top performers and provides inputs to the PRAISE Committee for grant of awards and incentives.
- Adopts its own internal rules, procedures and strategies in carrying out the above responsibilities including schedule of meetings and deliberations, and delegation of authority to representatives in case of absence of its members.

c) PMT Secretariat

- Monitors submission of the Office Performance Commitment and Review Form and schedule the review/evaluation of Office Commitments by the PMT before the start of a performance period.
- Consolidates reviews, validates and evaluates the initial performance assessment of the Heads of Offices based on reported Office accomplishments against the success indicators, and the allotted budget against the actual expenses. The result of the assessment shall be the basis of PMT's recommendation to the Head of Agency who shall determine the final Office rating.

- Conducts an agency performance planning and review conference annually for the purpose of discussing the Office assessment for the preceding performance period and plans for the succeeding rating period with concerned Heads of Offices. This shall include participation of the Financial Office regarding budget utilization.
- Provides each Office with the final Office Assessment to serve as basis of offices in the assessment of individual staff members.

As per Board Resolution No. 20 - 2012, the PMT Secretariat shall be composed of:

- | | | |
|--------------------------|---|--------------------------------|
| 1. Adrielle C. Bernardo | - | Administration Services Aide |
| 2. Angelo A. dela Rosa | - | Utilities Services Assistant D |
| 2. Michelle B. Galupo II | - | Accounting Processor A |
| 3. Valerie C. Figueroa | - | Engineering Aide |

d) Human Resource Management Office

- Monitors submission of Individual Performance Commitment and Review Form by heads of offices.
- Reviews the Summary List of Individual Performance Rating to ensure that the average performance rating of employees is equivalent to or not higher than the Office Performance Rating as recommended by the PMT and approved by the Head of Agency.
- Provides analytical data or retention, skill/competency gaps, and talent development plans that align with strategic plans.
- Coordinates development interventions that will form part of the HR Plan.

e) Head of Office / Department Manager / Division Chief or equivalent

- Assumes primary responsibility for performance management in his/her Office.
- Conducts strategic planning session with the supervisors and staff and agree on the outputs that should be accomplished based on the goals/objectives of the organization and submits the Office Performance Commitment and Review Form to the PMT Secretariat.
- Reviews and approves individual employee's Performance Commitment and Review form for submission to the HRM Office/Personnel Office before the start of the performance period.

- Monitors closely the status of the performance of their subordinates and provide support and assistance through the conduct of coaching for the attainment of targets set by the Division and individual employee.
- Submits a quarterly accomplishment report to the PMT Secretariat based on the SPMS calendar (Annex D).
- Does initial assessment of office's performance using the approved Office Performance Commitment and Review form.
- Determines final assessment of performance level of the individual employees in his/her office based on proof performance.
- Informs employees of the final rating and identifies necessary interventions to employees based on the assessment of developmental needs.
 - Recommends and discuss a developmental plan with the subordinates who obtain **Unsatisfactory** performance during the rating period not later than one (1) month after the end of the said period and prepares written notice/advice to subordinates that a succeeding unsatisfactory performance shall warrant their separation from the service.
 - Provides preliminary rating to subordinates showing Poor performance not earlier than the third (3rd) month of the rating period. A development plan shall be discussed with the concerned subordinate and issue a written notice that failure to improve their performance shall warrant their separation from the service.

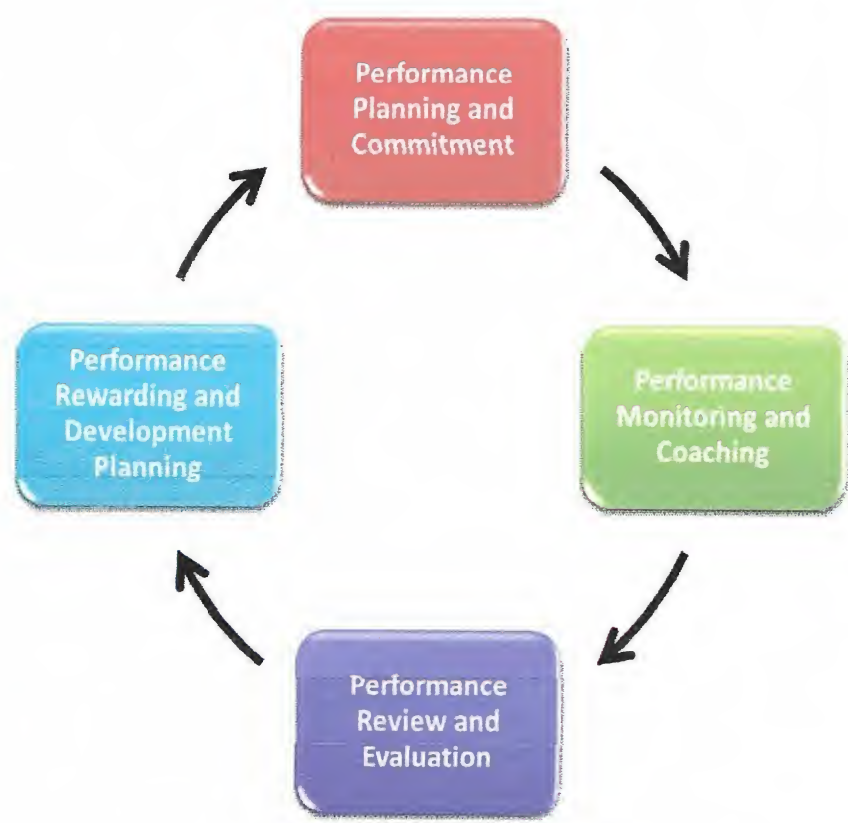
g) Individual Employees

- Act as partners of management and their co-employees in meeting organizational performance goals

Part 2: The SPMS Process

I. The SPMS Cycle

The SPMS shall follow the same **four-stage PMS** cycle that underscores the importance of performance management.



Stage 1: Performance Planning and Commitment

This is done at the start of the performance period where Heads of Offices meet with the staff and agree on the outputs that should be accomplished based on the goals/objectives of the TWD.

During this stage, success indicators are determined. Success indicators refer to the characteristics, property or attribute of achievements, accomplishments or effectiveness on the fulfillment of work plans for the year. They are performance level yardsticks consisting

of **performance measures and performance targets**. This shall serve as bases in the office and individual employees' preparation of their performance contract and rating form.

Success indicators should be S-M-A-R-T which stands for:

- **Specific** – Do the indicators clearly indicate which should be achieved? Are they easily understood?
- **Measurable** – Are the indicators quantifiable or verifiable to determine whether the Office / individual is meeting the objectives or not?
- **Achievable** – Are the indicators attainable and realistic given the Office's resources?
- **Results-Oriented** – Do the indicators focus on outputs geared towards realization of organizational outcomes?
- **Time-bound** – Is there a time frame to achieve or complete the deliverables? Does it advance efficiency in delivering services?



The TWD shall set the performance goals / objectives and performance measures of the organization as early as August of the current year for targets and measures for the next year. This shall serve as basis in the Office's preparation of the Office Performance Contract and Review (OPCR). Commitments for the year shall be reflected in a way that semestral targets / activities are strategically reflected specifically *milestones* for projects that would be completed in six (6) months or more so that progressive outputs are identified and rated accordingly.

The Performance Management Team (PMT) shall review Office's OPCR for TWD's approval. It shall ensure that the performance targets and measures and the budget are aligned with

those of the organization and that work distribution of Offices is rationalized. Should modification be necessary in the submitted OPCR, the PMT shall inform the concerned head of office of the proposed changes.

Performance measures (Annex C) need not be many. Only those that contribute to or support the outcomes that the Tanza Water District aims to achieve shall be included in the office performance contract, i.e., measures that are relevant to TWD’s core functions and strategic priorities. The performance measures must be continuously refined and reviewed.

Performance measures shall include any one, combination of, or all of the following general categories, whichever is applicable:

Category	Definition
Effectiveness/Quality	<p>The extent to which actual performance compares with targeted performance.</p> <p>The degrees to which objectives are achieved and the extent to which targeted problems are solved.</p> <p>In management, effectiveness relates to <i>getting the right things done</i>.</p>
Efficiency	<p>The extent to which time or resources is used for the intended task or purpose. Measures whether targets are accomplished with a minimum amount or quantity of waste, expense, or unnecessary effort.</p>
Timeliness	<p>Measures whether the deliverable was done on time based on the requirements of the law and/or clients/stakeholders. Time-related performance indicators evaluate such things as projected completion deadlines, time management skills and other time-sensitive expectations.</p>

▪ **Target Setting**

The General Manager shall cause the determination of their “agency target setting period” within which the office and employees’ targets are set and discussed by the raters and the ratees, reviewed and concurred by the head of office and submitted to the PMT. The office shall observe the cutoff date of every 15th of January and every 15th of July for the 1st and 2nd semesters, respectively.

The Agency Road Map, Agency Strategic Plan, Annual Investment Plan, etc. shall be the basis of the targets of Offices. Aside from the Office commitments explicitly identified under each Strategic Priority in the Road Map, **major final outputs** that contribute to the attainment of organizational mission/vision which form part of the **core and support functions** of the Office shall be indicated as performance targets.

The targets shall take into account any combination of, or all of the following:

- **Historical Data.** The data shall consider past performance.
- **Benchmarking.** This involves identifying and comparing the best agencies or institutions or units within the agency with similar functions or processes. Benchmarking may also involve recognizing existing standards based on provisions or requirements of the law.
- **Client Demand.** This involves a bottom-up approach where the Office sets targets on the needs of its clients. The Office may consult with stakeholders and review the feedback on its services.
- **OPES Reference table.** List of major final outputs with definition and corresponding OPES points.
- **Top Management Instruction.** The Head of Agency may set targets and give special assignments.
- **Future trend.** Targets may be based from the results of the comparative analysis of the actual performance of the Office with its potential performance.

In setting work targets, the Office shall likewise indicate the detailed budget requirements per expense account to help the General Manager in ensuring a strategy driven budget allocation and in measuring cost efficiency. The office shall also identify group/individuals as primarily accountable for producing a particular target output per program/project/activity. These targets, performance measures, budget and responsibility centers are summarized in the Office Performance Commitment and Review Form (OPCR) (**Annex C**).

Using the SPMS Table of Performance Standards / Measures (success indicators), determine the type and number of output the office is mandated to deliver. In cases where the work outputs identified do not have corresponding measures / standards, the office shall provide the specific measures or success indicators and targets. This will be subject to the evaluation of the PMT.

A meeting shall be held specifically for the purpose of reviewing the OPCR's where Heads of Offices shall present their respective OPCR's.

Amendments to the OPCR may be allowed at any time to accommodate intervening tasks subject to the review of the PMT and approval of the Top Management.

The approved Office Performance Commitment and Review Form shall serve as basis for individual performance targets and measures to be prepared in the Individual Employee's Performance Commitment and Review Form (IPCR) **{Annex D}**.

Unless the work output of a particular duty has been assigned pre-set standards by management, its standards shall be agreed upon by the Head of Office and the ratees.

Individual employees' performance standards shall not be lower than the TWD's standards in its approved Office Performance Commitment and Review Form.

Stage 2: Performance Monitoring and Coaching

During the performance monitoring and coaching phase, the performance of the Offices and every individual shall be regularly monitored at various levels: i.e., the General Manager, PMT Secretariat, Head of Office, and individual, on a regular basis.

Monitoring and evaluation mechanisms should be in place to ensure that timely and appropriate steps can be taken to keep a program on track and to ensure that its objectives or goals are met in the most effective manner **(Annex I)**. The rater is expected to address factors that either help or hinder effective work performance and design tracking tools or monitoring strategies as may be needed. Also a very vital tool of management at this stage is an information system that will support data management to produce timely, accurate and reliable information for program tracking and performance monitoring/reporting.

Department Managers / Heads of Office play a critical role at this stage. The focus is on their critical function and strategic shift as front runner of developmental planning with emphasis on the strategic role of being an enabler / coach / mentor rather than a mere evaluator in order to provide an enabling environment/intervention to improve team performance; and manage and develop individual potentials.

At this stage, Department Managers /Heads of Office should fully exercise or practice this management development intervention in enhancing the potentials of every employee

under them. They shall periodically check on the progress and quality of work of the Office / individual employee.

▪ **Monitoring.** The performance of Offices and every individual shall be regularly monitored at various levels: i.e., General Manager, PMT Secretariat, Department Managers /Heads of Office, and individual, on a regular basis, but shall not be limited to the following schedule:

- a. The General Manager shall review the performance of the TWD offices at least once a year.
- b. The PMT Secretariat shall summarize and analyze the performance of the Offices every six months or at the end of each performance period.
- c. The Department Managers / Heads of Office shall monitor on a regular basis the performance of the employees under them. They shall meet with them to discuss performance and the progress of work. Each individual shall likewise monitor and assess his / her performance regularly.

Monitoring may be conducted through meetings, one-on-one discussions, memorandum and review of pertinent documents such as reports and communications and tracking forms to ensure timely completion and quality execution of deliverables. Monitoring is also done to avert any untoward incident or address constraints and challenges, if any.

▪ **Coaching.** This is a critical function of Department Managers / Heads of Office aimed at empowering and helping individual employees in their work assignments. They shall adopt team coaching in the management of work within the Office to help the employees become focused on a shared goal to accomplish a task or complete a deliverable.

▪ **Form.** The Department Managers / Heads of Office shall maintain a journal using the Performance Monitoring and Coaching Form to record the conduct of monitoring and coaching which shall contain the date and form of monitoring / coaching, brief statement of the purpose of the monitoring / coaching, name of persons monitored / coached as well as critical incidents noted, if any.

Both the supervisor and the supervisee shall affix their signatures in the space provided and shall submit all the accomplished forms to the PMT after each quarter.

Stage 3: Performance Review and Evaluation
(Office Performance and Individual Employee's Performance)

This phase aims to assess both Office and individual employee's performance level based on set performance targets and measures as approved in the office and individual performance commitment contracts (OPCR and IPCR). The rater objectively determines the gaps between the actual and desired performance.

The results of assessment of Office and individual performance shall be impartial owing to scientific and verifiable basis for target setting and evaluation.

- **Office Performance Assessment**

At the end of the semester, the TWD Offices shall submit the accomplishments using the OPCR to the PMT Secretariat for evaluation/validation (refer to SPMS calendar – **Annex F**).

The PMT Secretariat shall return to the Offices the validated accomplishments, with the summary report per Office. An Office is given three (3) days to comment on the validated accomplishments otherwise the PMT Secretariat shall consider it as final for submission to the General Manager for final assessment.

To assist the General Manager evaluate performance, the PMT Secretariat shall consolidate, review, validate and evaluate the initial performance assessment of the Heads of Offices based on reported Office accomplishments against the success indicators, and the allotted budget against the actual expenses. The General Manager shall determine the final rating of offices.

An agency performance review conference shall be conducted annually by the PMT Secretariat for the purpose of discussing the office assessment with concerned Department Managers / Heads of Offices. This shall include the participation of the Financial Office as regards budget utilization. To ensure complete and comprehensive performance review, all Offices shall submit a quarterly accomplishment report to the PMT Secretariat based on the SPMS calendar.

Any issue/appeal/protest on the Office assessment shall be articulated by the concerned department manager / head of office and decided by the General Manager during this conference.

The PMT Secretariat shall provide each Office with the final Office Assessment to serve as basis of office in the assessment of individual staff members.

- **Performance Assessment for Individual Employees**

The Department Manager / Head of Office shall assess individual employee performance based on the commitments made at the beginning of the rating period. The performance rating shall be based solely on records of accomplishment; hence, there is no need for self-rating.

The SPMS puts premium on **major final outputs** towards realization of organizational mission/vision. Hence, rating for planned and or intervening tasks shall always be supported by reports, documents or any outputs as proofs of actual performance. In the absence of said bases or proofs, a particular task shall not be rated and shall be disregarded.

The Department Manager / Head of Office shall indicate qualitative comments, observations and recommendations in the individual employee's performance commitment and review form to include competency assessment and critical incidents which shall be used for human resource development purposes such as promotion and other interventions.

The Department Manager / Head of Office shall first discuss the initial assessment of the individual employees in his / her office and then determine the final assessment of their performance level based on proof of performance. The final assessment shall correspond to the adjectival description of Outstanding, Very Satisfactory, Satisfactory, Unsatisfactory or Poor.

The Department Manager / Head of Office may adopt appropriate mechanism to assist him/her distinguish performance level of individuals, such as but not limited to peer ranking and client feedback.

The **average** of all individual performance assessments shall **not** go higher than the collective performance assessment of the Office.

The Department Manager / Head of Office shall ensure that the employee is notified of his/her final performance assessment and the Summary List of Individual Performance Ratings (**Annex H**) with the attached IPCRs are submitted to the HRM Office/Personnel Office within the prescribed period.

Stage 4: Performance Rewarding and Development Planning

Part of the individual employee's evaluation is the competency assessment vis-à-vis the competency requirements of the job. The result of the assessment shall be discussed by the Heads of Office with the individual employee at the end of each rating period. The discussion shall focus on the strengths, competency-related performance gaps and opportunities to address these gaps, career paths and alternatives.

The result of the competency assessment shall be treated independently of the performance rating of the employee.

Appropriate developmental interventions shall be made available by the Head of Office in coordination with the HRM Office/Personnel Office.

A professional development plan (**Annex J**) to improve or correct performance of employees with Unsatisfactory and Poor performance ratings must be outlined, including timelines, and monitored to measure progress.

The results of the performance evaluation/assessment shall serve as inputs to the:

- a. Department Manager / Heads of Office in identifying and providing the kinds of interventions needed, based on the developmental needs identified;
- b. Agency HRM Office/Personnel Office in consolidating and coordinating developmental interventions that will form part of the Human Resource Plan and the basis for rewards and incentives;
- c. PMT identifying potential PRAISE Awards nominees for various awards categories; and,

- d. PRAISE Committee in determining top performers of the Agency who qualify for awards and incentives.

II. SPMS Mechanics of Rating

Rating Scale for EFFICIENCY / QUANTITY		
Rating		Description
Numerical	Adjectival	
5	Outstanding	Target or quota exceeded by 30% or more.
4	Very Satisfactory	Target or quota exceeded by 15% - 29%.
3	Satisfactory	Target or quota accomplished as expected or up to 14% in excess of the target or quota.
2	Unsatisfactory	Only 51% - 94% of target or quota accomplished.
1	Poor	Less than 50% of quota or target accomplished.

Formula:

$$ER = \frac{\text{accomplished}}{\text{target / quota}}$$

Illustration No. 1

Accomplished = 50
 Target / quota = 42

$$ER = \frac{50}{42} = 1.18$$

Illustration No. 1 shows that employee’s accomplishment exceeded his target / quota by 18%. Therefore, his rating falls under **4**, which is **Very Satisfactory**.

Illustration No. 2

Accomplished = 35
 Target / quota = 42

$$ER = \frac{35}{42} = 0.83$$

Illustration No. 2 shows that employee’s accomplishment is only 83% of his target / quota. Therefore, his rating falls under 2, which is **Unsatisfactory**.

For fixed science such as reports that are consistently submitted:

Rating		Description
Numerical	Adjectival	
5	Outstanding	Reports accomplished / completed
3	Satisfactory	Reports not accomplished / completed

Rating Scale for TIMELINESS

Rating		Description
Numerical	Adjectival	
5	Outstanding	Task completed within the first 30% or more of the time before the deadline or scheduled time of completion. Task completed ahead of the planned time 30% for non-routine duty.
4	Very Satisfactory	Task completed in 15% - 29% of the time before the deadline or scheduled time of completion. Task completed ahead of the planned time by 15% to 29% for non-routine duty.
3	Satisfactory	Task completed on the deadline or up to 14% of the time before the deadline or scheduled time of completion. Task completed on deadline or planned time or earlier but not more than 14% of the planned time for non-routine duty.
2	Unsatisfactory	Task completed 51% - 99% of the time after the deadline or scheduled time of completion. Task completed after the deadline or planned time by 51% - 99% for non-routine duty.
1	Poor	Task not completed at all or completed 50% or more of the time after the deadline or scheduled time of completion. Task not completed after the deadline or planned time by 50% or more for non-routine duty.

Formula:

$$TR = 1 - \left(\frac{\text{accomplished}}{\text{target / quota}} \right)$$

Illustration No. 1

Accomplished = 18 days after the preceding month
Target / quota = 20 days after the preceding month

$$ER = 1 - \left(\frac{18}{20} \right) = 0.10$$

Illustration No. 1 shows that employee completed the task 10% of the time before the deadline. Therefore, his rating falls under **3**, which is **Satisfactory**.

Illustration No. 2

Accomplished = 18 days after the preceding month
Target / quota = 18 days after the preceding month

Illustration No. 2 shows that employee completed the task on the deadline. Therefore, his rating falls under **3**, which is **Satisfactory**.

RATING SCALE FOR QUALITY / EFFECTIVENESS

For Written:

Rating		Description
Numerical	Adjectival	
5	Outstanding	No mistakes
4	Very Satisfactory	1 or 2 minor errors
3	Satisfactory	More than 2 minor errors
2	Unsatisfactory	1 or 2 major errors
1	Poor	3 or more lapses; needs total revision

For Non-written:

Rating		Description
Numerical	Adjectival	
5	Outstanding	Excellent results
4	Very Satisfactory	1 or 2 minor errors in the execution of work assignment
3	Satisfactory	more than 2 minor errors
2	Unsatisfactory	1 major error or deficiency that needs supervision of the supervisor
1	Poor	Haphazard or careless execution of work assignments; unacceptable results

Critical factors affecting the delivery of work output shall be reflected and computed/averaged (A) in the columns provided for in the OPCR / IPCR Form using the standards for Quality/Effectiveness (Q), and the above rating scales for Efficiency (E), and Timeliness (T).

In computing the final rating of the office and individual performances, the following weight allocation shall be followed:

- Strategic Objectives - 45%
- Core Functions - 45%
- Support Functions - 10%

In cases when the three (3) components will not be completed, the following shall be used:

- If there will be no SO or CF, the computation of the percentage allocation shall be:

$$SO = \frac{SO}{CF + SF} \times 100\%$$

Computing the percentage allocation based on the original allocation of CF (or SO) and SF:

$$CF = \frac{45}{55} \times 45\% = 36.81\%$$

$$= 45 + 36.81 = 81.82 \text{ or } \mathbf{82\%}$$

$$SF = \frac{10}{55} \times 45\% = 8.18\%$$

$$= 10 + 8.18 = 18.18 \text{ or } \mathbf{18\%}$$

Therefore, the final percentage allocation shall be:

Core Functions	-	82%
Support Functions	-	18%

- If there will be no SF, the percentage allocation shall be:

Strategic Objectives	-	50%
Core Functions	-	50%

General Rating Scale

Rating		Description
Numerical	Adjectival	
5	Outstanding	Performance represents an <i>extraordinary level of achievement</i> and commitment in terms of quality and time, technical skills and knowledge, ingenuity, creativity and initiative. Employees at this performance level should have demonstrated <i>exceptional job mastery</i> in all major areas of responsibility. Employee achievement and contributions to the organization are of marked excellence.
4	Very Satisfactory	Performance <i>exceeded expectations</i> . All goals, objectives and targets were achieved above the established standards.
3	Satisfactory	Performance <i>met expectations</i> in terms of quality of work, efficiency and timeliness. The most critical annual goals were met.
2	Unsatisfactory	Performance <i>failed to meet expectations</i> , and/or one or more of the most critical goals were not met.
1	Poor	Performance was <i>consistently below expectations</i> , and/or reasonable progress toward critical goals was not made. Significant improvement is needed in one or more important areas.

In determining the final equivalent adjectival rating of the office and individual, the range of overall point scores is converted as follows:

4.50 - 5.00	Outstanding
3.51 - 4.49	Very Satisfactory
2.50 - 3.50	Satisfactory
1.50 - 2.49	Unsatisfactory
1.00 - 1.49	Poor

Sample Computation

MFOs	Q	E	T	A
Strategic Objectives				
MFO 1	4	4	2	3.333
MFO 2		3	2	3.000
MFO 3	3	4	3	3.333
MFO 4	5	5	2	4.000
				13.666
				/4
				3.416

Core Functions				
MFO 1	4	4	3	3.666
MFO 2	3	4	3	3.333
				6.999
				/4
				3.499

Support Functions				
MFO 1	5	4	2	3.666

Strategic Objectives	3.416	x	45%	=	1.537
Core Functions	3.499	x	45%	=	1.574
Support Functions	3.666	x	10%	=	0.366
FINAL RATING	3.477 Satisfactory				

The computation shows that the final rating of the employee is **3.477** with an adjectival rating **Satisfactory** derived from computing the average rating of all MFOs classified under Strategic Objectives, Core Functions and Support Functions and then multiplying the result by the weight allocation specified above.

III. SPMS Rating Period

Performance Evaluation shall be done semi-annually. However, if there is a need for a shorter or longer period, the minimum appraisal period is at least ninety (90) calendar days or three (3) months while the maximum is no longer than one (1) calendar year.

IV. Submission of TWD SPMS to CSC

The TWD SPMS should be any of the following:

- a. A system currently used by TWD which conforms to the basic features of the SPMS;
- b. A revised/enhanced TWD Performance Evaluation System (PES) based on the SPMS guidelines; or
- c. A new TWD PMS crafted based on the SPMS guidelines.

By January 2015, all performance based human resource movements and/or developments/interventions such as portion, scholarship, training, rewards and incentives shall **only** be based on a CSC-approved SPMS under these guidelines.

Any enhancement and/or amendment of the CSC-approved SPMS shall be submitted to the CSCRO concerned for approval and/or information/reference in the case of Deregulated Agencies.

V. SPMS Initiation / Implementation

General Manager shall:

- a. Constitute a Performance Management Team (PMT).
- b. Review existing Performance Evaluation System and decide on whether the same conforms with the features of the Strategic Performance Management System.
- c. Amend, enhance or develop Agency Performance Management System and submit the same to CSC review/approval.
- d. Conduct orientation and reorientation on the new and revised policies on SPMS for all employees. This is to promote awareness and interest on the system, generate employees' appreciation for the agency SPMS as a management tool for performance planning, control and improvement, and guarantee employees' internalization of their role as partners of management and co-employees in meeting organizational performance goals.

- e. Administer the approved Agency SPMS in accordance with guidelines / standards.
- f. Provide the Civil Service Commission Regional / Field Office concerned with a copy of the Consolidated Individual Performance Review Reports indicating alignment of the collective individual performance rating with the Organizational / Office Performance Rating.

VI. Uses of Performance Ratings

- a. Security of tenure of those holding permanent appointments is not absolute but is based on performance.

Employees who obtained **Unsatisfactory** rating for one rating period or exhibited poor performance shall be provided appropriate developmental intervention by the Head of Office, in coordination with the HRM Office / Personnel Officer, to address competency-related performance gaps.

If after advice and provision of developmental intervention, the employee still obtains Unsatisfactory ratings in the immediately succeeding rating period or Poor rating for the immediately succeeding rating period, he / she may be dropped from the rolls. A written notice / advice from the head of office at least 3 months before the end of the rating period is required.

- b. The PMT shall validate the Outstanding performance ratings and may recommend concerned employees for performance-based awards. Grant of performance-based incentives shall be based on the final ratings of employees as approved by the Head of Office.
- c. Performance ratings shall be used as basis for promotion, training and scholarship grants and other personnel actions.

Employees with Outstanding and Very Satisfactory performance ratings shall be considered for the above mentioned personnel actions and other related matters.

- d. Officials and employees who shall be on official travel, approved leave of absence or training or scholarship programs and who have already met the

required minimum rating period of 90 days shall submit the performance commitment and rating report before they leave the office.

For purposes of performance-based benefits, employees who are on official travel, scholarship or training within a rating period shall use their performance ratings obtained in the immediately preceding rating period.

- e. Employees who are on detail or secondment to another office shall be rated in their present or actual office, copy furnished their mother office. The ratings of those who were detailed or seconded to another office during the rating period shall be consolidated in the office, either the mother (plantilla) office or present office, where the employees have spent majority of their time during the rating period.

Part 3: Miscellaneous Provisions

I. Technical Assistance to Agencies

Heads of agencies may request technical assistance from the CSC Regional / Field Office concerned on the development, implementation, or refinement of their Agency SPMS.

II. Sanctions

Unless justified and accepted by the PMT, non-submission of the Office Performance Commitment Review form to the PMT, and the individual employee's Performance Commitment and Review forms to the HRM Office / Personnel Office within the specified dates shall be a ground for:

- a. Employees' disqualification for performance-based personnel actions which would require the rating for the given period such as promotion, training or scholarship grants and performance enhancement bonus, if the failure of the submission of the report form is the fault of the employees.
- b. An administrative sanction for violation of reasonable office rules and regulations and simple neglect of duty for the Heads of Offices or employees responsible for the delay or non-submission of the office and individual performance commitment and review report.
- c. Failure on the part of the Head of Office to comply with the required notices to their subordinates for their unsatisfactory or poor performance during a rating period shall be a ground for an administrative offense for neglect of duty.
- d. Non-submission of agency SPMS to the Civil Service Commission for review / approval shall be a ground for disapproval of promotional appointments issued by concerned agency heads.

III. Appeals

- a. Office performance assessment as discussed in the performance review conference shall be final and not appealable. Any issue / appeal on the initial performance assessment of an Office shall be discussed and decided during the performance review conference.
- b. Individual employees who feel aggrieved or dissatisfied with their final performance ratings can file an appeal with the PMT within ten (10) days from the date of receipt of notice of their final performance evaluation rating from the Head of Office. An office or individual employee, however, shall not be allowed to protest the performance ratings of other office or co-employees. Ratings obtained by other office or employees can only be used as basis or reference for comparison in appealing one's office or individual performance rating.
- c. The PMT shall decide on the appeals within one (1) month from receipt.
- d. Officials or employees who are separated from the service on the basis of Unsatisfactory or Poor performance rating can appeal their separation to the CSC or its regional office within fifteen (15) days from receipt of the order or notice of separation.

Part 4 – Annexes



EXCERPTS FROM THE MINUTES OF THE REGULAR MEETING OF THE BOARD OF DIRECTORS, TANZA WATER DISTRICT (TWD), HELD AT THE TWD CONFERENCE ROOM, TANZA, CAVITE ON JULY 26, 2012

RESOLUTION NO. 20 – 2012

**CREATION OF TANZA WATER DISTRICT (TWD)
PERFORMANCE MANAGEMENT TEAM (PMT)**

WHEREAS, the Civil Service Commission (CSC) has directs all government agencies to establish and implement a Strategic Performance Management System (SPMS), a performance evaluation which focuses on linking individual performance vis-à-vis agency's organizational vision, mission and strategic goals. It is envisioned as a technology composed of strategies, methods and tools for ensuring fulfillment of the functions of the offices and its personnel as well as for assessing the accomplishments;

WHEREAS, the creation of a Performance Management Team (PMT) will be vital to the success of the implementation of the SPMS;

WHEREAS, the PMT, in coordination with the PMT Secretariat, will help the agency head to administer the SPMS in accordance with its guidelines once approved by the CSC;

WHEREFORE, the Tanza Water District (TWD) shall be composed of the following:

Ms. Karen P. Maestrado	– Chairperson
Ms. Melanie P. Bobadilla	- Member
Ms. Mira Iris H. Arenal	- Member
Mr. Esmael A. Cesa	- Member/ Rank and File representative

PMT Secretariat:

Ms. Adrielie C. Bernardo	- Administrative Service Aide
Mr. Angelo A. Dela Rosa	- Utilities Service Assistant D
Ms. Valerie C. Figueroa	- Engineering Aide
Ms. Michelle B. Galupo II	- Accounting Processor A

Salix - Enclosed h.l.
[Signature]
[Signature]




Republic of the Philippines
TANZA WATER DISTRICT
A.Soriano Highway, Tanza, Cavite 4108
Tel. No. (046) 484-1814 / 505-2906

RESOLVED, AS IT IS HEREBY RESOLVED, that the Board of Directors, Tanza Water District, hereby declares the creation of the Tanza Water District PMT with the aforementioned personnel as its composition;

RESOLVED FURTHER, that copies of this resolution be furnished agencies concerned for its information and guidance;

Unanimously approved, **July 26, 2012.**


VICENTE RAFAEL DE PERALTA
Board Secretary


DR. CARMENCITA P. ESCALADA
Board Member

-Absent-
FELICIANA J. CESA
Board Member


ROGELIO C. ABAD
Board Member

-Absent-
MEDEN C. TENA
Sixth Member


ENGR. NELIA V. DEL ROSARIO
Chairman of the Board



Republic of the Philippines
TANZA WATER DISTRICT
A. Soriano Highway, Tanza, Cavite
Tel. Nos.: (046) 484-1813 / (046) 505-2906

Annex B

OFFICE ORDER NO. 06, 2012

TO: KAREN P. MAESTRADO / MELANIE P. BOBADILLA / MIRA IRIS H. ARENAL /
ESMAEL A. CESA
ppp Pulido
FROM: Engr. RICARDO R. PULIDO
General Manager
SUBJECT: OFFICIAL DESIGNATION
DATE: July 27, 2012

You are hereby designated as members of the **Performance Management Team (PMT)** as per approved Board Resolution No. 20, s. 2012.

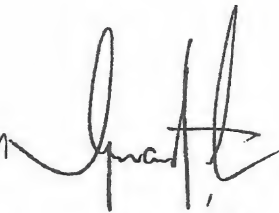
Chairperson / Highest HR Officer	Karen P. Maestrado
Member (Highest Finance Officer)	Melanie P. Bobadilla
Member (Highest Planning Officer)	Mira Iris H. Arenal
Rank and file representative	Esmael A. Cesa

Duties and Responsibilities:

1. Sets consultation meeting of all Heads of Offices for the purpose of discussing the targets set in the office performance commitment and rating form.
2. Ensures that Office performance targets and measures, as well as the budget are aligned with those of the agency and that work distribution of Offices are rationalized.
3. Recommends approval of the office performance commitment and rating to the Head of Agency.
4. Acts as appeals body and final arbiter for performance management issues of the agency.

5. Identifies potential top performers and provide inputs to the PRAISE Committee for grant of awards and incentives.
6. Adopts its own internal rules, procedures and strategies in carrying out the above responsibilities including schedule of meetings and deliberations, and delegation of authority to representatives in case of absence of its members.

This shall take effect immediately.

KPM 

MPS 

MHA  7/3/12

EAC 



Republic of the Philippines
TANZA WATER DISTRICT
A. Soriano Highway, Tanza, Cavite
Tel. Nos.: (046) 484-1813 / (046) 505-2906

Annex B

OFFICE ORDER NO. 07, 2012

TO: ANGELO A. DELA ROSA / MICHELLE B. GALUPO II / VALERIE C. FIGUEROA /
ADRIELIE C. BERNARDO
PPR Pulido
FROM: Engr. RICARDO R. PULIDO
General Manager
SUBJECT: OFFICIAL DESIGNATION
DATE: July 27, 2012

You are hereby designated as members of the **Performance Management Team (PMT)** Secretariat as per approved Board Resolution No. 20, s. 2012.

Angelo A. dela Rosa	-	Utilities Services Assistant D
Michelle B. Galupo II	-	Accounting Processor A
Valerie C. Figueroa	-	Engineering Aide
Adrielie C. Bernardo	-	Administration Services Aide

Duties and Responsibilities:

1. Monitors submission of the Office Performance Commitment and Review Form and schedules the review / evaluation of Office Commitments by the PMT before the start of a performance period.
2. Consolidates reviews, validates and evaluates the initial performance assessment of the Heads of Offices based on reported Office accomplishments against the success indicators, and the allotted budget against the actual expenses. The result of the assessment shall be the basis of PMT's recommendation to the Head of Agency who shall determine the final Office rating.


3. Conducts an agency performance planning and review conference annually for the purpose of discussing the Office assessment for the preceding performance period and plans for the succeeding rating period with concerned Heads of Offices. This shall include participation of the Financial Office regarding budget utilization.
4. Provides each Office with the final Office Assessment to serve as basis of offices in the assessment of individual staff members.

This shall take effect immediately.

AADR - 

MBG - 

VCF - 

AADR - 

Annex C

Head of Office

Approved by:

- 5 - Outstanding
- 4 - Very Satisfactory
- 3 - Satisfactory
- 2 - Unsatisfactory
- 1 - Poor

[illegible]

INDIVIDUAL PERFORMANCE COMMITMENT AND REVIEW FORM (IPCR)

Annex D

I, _____, of the _____ of _____, commit to deliver and agree to be rated on the attainment of the following targets in accordance with the indicated measures for the period _____.

Date: _____

Reviewed by	Date	Approved by	Date
Immediate Supervisor		Head of Office	

Output	Success Indicator (Target + Measure)	Actual Accomplishments	Rating				Remarks
			Q ¹	E ²	T ³	A ⁴	
STRATEGIC OBJECTIVES	STRATEGIC OBJECTIVES RATING						
						0.000 /N	
						0.000	
CORE FUNCTIONS							

OFFICE PERFORMANCE COMMITMENT AND REVIEW FORM (OPCR)

Annex C

I, _____, Head of the _____, commit to deliver and agree to be rated on the attainment of the following targets in accordance with the indicated measures for the period _____.

Approved by: _____
Head of Office

Date: _____

General Manager		Date
-----------------	--	------

- 5 - Outstanding
- 4 - Very Satisfactory
- 3 - Satisfactory
- 2 - Unsatisfactory
- 1 - Poor

MFO	SUCCESS INDICATORS (TARGETS + MEASURES)	Allotted Budget	Division / Individuals Responsible	Actual Accomplishments	Rating			Remarks
					Q ¹	E ²	T ³ A ⁴	
STRATEGIC OBJECTIVES								
STRATEGIC OBJECTIVES RATING							0.000 /N	
CORE FUNCTIONS							0.000	

Output	Success Indicator (Target + Measure)	Actual Accomplishments	Rating				Remarks
			Q ¹	E ²	T ³	A ⁴	
CORE FUNCTIONS RATING						0.000 /N	
SUPPORT FUNCTIONS						0.000	
SUPPORT FUNCTIONS RATING						0.000 /N	
AVERAGE RATING						0.000	
CATEGORY			OUTPUTS				RATING
Strategic Objectives		0.000				_____ %	
Core Functions		0.000		X		_____ %	
Support Functions		0.000		X		_____ %	
Total Overall Rating							
Final Average Rating							
Adjectival Rating							
Comments and Recommendations for Development Purposes							
Discussed with	Date	Assessed by	Date	Final Rating by		Date	
1 - Quality			3 - Timeliness		4 - Average		
Immediate Supervisor			Head of Office				

Legend:

1 - Quality

2 - Efficiency

3 - Timeliness

4 - Average

MAJOR FINAL OUTPUTS			Annex E
Tanza Water District			
COMMON OUTPUTS		SUCCESS INDICATORS	OPERATIONAL DEFINITION
ADMINISTRATION / GENERAL SERVICES FUNCTIONS			
Appointments processed	100% appointments with complete attachments within 1 1/2 months upon publication of vacant positions	Appointments acted upon which undergo Merit Selection Plan procedures, complete with all necessary attachments and documents (PSB minutes, PDS, PDF, Comparative Assessment, diploma, TOR etc.).	
Reports on Appointments issued	100% RAI with complete attachments (if any) prepared and submitted on or before the 10th of the succeeding month	Report on Appointments are submitted to the Civil Service Commission before the 10th day of the succeeding month. It contains details of all the appointments issued for the preceding month	
CSC Monthly Reports submitted	100% CSC reports with complete attachments (if any) prepared and submitted on or before the deadline	CSC Monthly Reports prepared and submitted with complete data and attachments. Deadline for submission is every 20th of the month.	
Monthly remittances prepared	100% accurate remittances prepared and remitted every first week of the month	Remittance lists for HDMF, Philhealth, GSIS which include premium contributions and loans.	
Leave application certified and processed	100% application for leave certified within two (2) hours upon receipt	Employees' application for leave duly certified by the HR officer, approved by the immediate supervisor and the Agency Head.	
Leave cards updated	100% employees' leave cards updated every 10th day of the succeeding month	Employees leave cards updated: leave credits based on employees' pass slips, time cards, and leave applications.	

MAJOR FINAL OUTPUTS		
Tanza Water District		
COMMON OUTPUTS	SUCCESS INDICATORS	OPERATIONAL DEFINITION
Leave monetization processed	Leave monetization processed with complete data within two (2) days upon receipt of application	Application for monetization of leave credits processed with computation of money value. Certified by the HR officer and Finance officer.
Report on Leave Credits prepared	100% accurate report submitted every first week of July and January	Report that shows the remaining leave credits of the employees. Done every six months or when need arises.
Report on Punctuality and Attendance prepared	100% accurate submitted every 10th day of the succeeding month	Indicates all lates, undertimes, pass slips, no ins, no outs, of all the employees for the month.
Payrolls prepared	100% accurate payroll prepared one (1) day before the actual release of the payroll	Regular, special and weekly payroll includes: 15th and 30th payroll for permanent employees, other allowances and incentives and payroll for job order personnel.
Statement of Assets, Liabilities and Networth (SALN) processed and submitted	SALN processed with complete data, submitted to the Office of the Ombudsman before end of May	Properly accomplished SALN form with signature of Agency Head, duly stamped received by the Office of the Ombudsman.
Notice of Salary Adjustment (NOSA) prepared	NOSA prepared and distributed to employees 10 days after the effectivity date	NOSA: duly approved and signed by the Agency Head, distributed to each employees, copies of which furnished to the different agencies concerned.
Notice of Step Increment (NOSI) prepared	NOSI prepared and distributed to employees 10 days after the effectivity date	NOSI: duly approved and signed by the Agency Head, distributed to each employees, copies of which furnished to the different agencies concerned.

MAJOR FINAL OUTPUTS		
Tanza Water District		
COMMON OUTPUTS	SUCCESS INDICATORS	OPERATIONAL DEFINITION
ADMINISTRATION / GENERAL SERVICES FUNCTIONS		
Appointments processed	100% appointments with complete attachments within 1 1/2 months upon publication of vacant positions	Appointments acted upon which undergo Merit Selection Plan procedures, complete with all necessary attachments and documents (PSB minutes, PDS, PDF, Comparative Assessment, diploma, TOR etc.).
Reports on Appointments issued	100% RAI with complete attachments (if any) prepared and submitted on or before the 10th of the succeeding month	Report on Appointments are submitted to the Civil Service Commission before the 10th day of the succeeding month. It contains details of all the appointments issued for the preceding month
CSC Monthly Reports submitted	100% CSC reports with complete attachments (if any) prepared and submitted on or before the deadline	CSC Monthly Reports prepared and submitted with complete data and attachments. Deadline for submission is every 20th of the month.
Monthly remittances prepared	100% accurate remittances prepared and remitted every first week of the month	Remittance lists for HDMF, Philhealth, GSIS which include premium contributions and loans.
Leave application certified and processed	100% application for leave certified within two (2) hours upon receipt	Employees' application for leave duly certified by the HR officer, approved by the immediate supervisor and the Agency Head.
Leave cards updated	100% employees' leave cards updated every 10th day of the succeeding month	Employees leave cards updated: leave credits based on employees' pass slips, time cards, and leave applications.

MAJOR FINAL OUTPUTS Tanza Water District		
COMMON OUTPUTS	SUCCESS INDICATORS	OPERATIONAL DEFINITION
Job Order Contracts prepared	100% job order contracts prepared one (1) week before the date of end contract	Job order contracts are issued to job order employees to attest his hiring. Includes position, daily rate, endorsement of the head of office to which he will be assigned, approved by the head of agency.
Purchase Order (PO) prepared	100% POs prepared with complete attachments three (3) days after receipt of Purchase Requisition (PR)	Purchase Order (PO) is a document indicating the quantity, specifications, unit price, total amount of the products or services as agreed upon by the TWD and the supplier. Based on the quotation letter or the canvass sheet, the supplier with the lowest price will have the PO.
Purchase Requisition (PR) prepared	100% PRs prepared two (2) hours after receipt of Request Form from the requesting division	Purchase Request (PR) shall be used to request for the purchase of an item not available on stock. It shall be the basis for the preparation of Purchase Order (PO).
General insurance	Insurance processed a month before its expiration or if new application, as scheduled	Either application for new or renewal of insurance. General insurance includes: motor vehicle insurance, fire insurance for TWD building and pumpstations, accident insurance for employees (Malayan Insurance).
Philippine Civil Service (PCS) Anniversary Celebration Programs and Activities	Activities conducted in participation of PCS anniversary celebration during September. a. Brigada ahensya b. Mini-olympics	PCS anniversary celebration is held every September wherein different activities are conducted related to the theme.

MAJOR FINAL OUTPUTS		
Tanza Water District		
COMMON OUTPUTS	SUCCESS INDICATORS	OPERATIONAL DEFINITION
Women's Day Celebration Programs and Activities	Activities conducted in participation of Women's Day celebration on the 1st week of March	Women's Day is celebrated every March 8. Different activities like film showing, lecture on the importance of women etc. are conducted, depending on what the theme is about.
Outreach Programs	2 programs in partnership with other organizations implemented each semester (1st sem March - fire prevention awareness campaign; 2nd sem July - medical mission)	Outreach programs in coordination with different agencies.
Brigada Eskwela	4 schools assisted by the end of May.	Brigada Eskwela is a project of the DepEd usually conducted last week of May wherein they seek assistance to different agencies, NGOs etc. to clean and prepare the school for the upcoming opening of classes.
TWD anniversary programs and activities	Activities conducted during TWD anniversary celebration on March.	TWD celebration of its anniversary held every March. It is usually a one-day affair full of activities for the concessionaires and employees.
Application for Agency Administrative Officers (AAOs) and Liaison Officers (LOs) at GSIS submitted	Application submitted with complete requirements before the end of January	GSIS application for AAOs and LOs done before the end of January. Requirements are: properly accomplished application forms, insurance form, letter of endorsement signed by the head of agency, IDs of the Los and AAOs. Submitted to GSIS for approval.

MAJOR FINAL OUTPUTS Tanza Water District		
COMMON OUTPUTS	SUCCESS INDICATORS	OPERATIONAL DEFINITION
Liquidation of Cash Advance	100% accurate liquidation with complete attachments two (2) weeks after receipt of cash advance	Report of liquidation of cash advances prepared by the concerned official, signed by the immediate supervisor & certified as to completeness of the supporting documents by the head of agency
IPCR target checked	100% IPCR targets checked before the deadline. 1st sem - Jan 15; 2nd sem - July 15	IPCR targets are submitted by the employees to their immediate supervisor for checking. It contains their commitment for one (1) evaluation period.
IPCR accomplishments checked	100% IPCR accomplished checked before the deadline. 1st sem - July 15; 2nd sem - Jan 15	IPCR accomplishments are submitted to the immediate supervisor after the evaluation period. It contains the targets and the actual accomplishments of an employee.
OPCR target prepared	OPCR target prepared before the deadline - Oct 5	OPCR target shall be accomplished by the heads of office to be submitted to the PMT for review before Oct. 5 of the year. It is the commitment of each division.
OPCR accomplishments prepared	OPCR accomplishments prepared before the deadline. 1st sem - July 15; 2nd sem - Jan 15	OPCR accomplishments are submitted July 15 and Jan 15 for the 1st and 2nd semester, respectively. It shall be approved by the head of agency.
Membership application to various agencies	100% membership application processed one (1) month after the effectivity of employees' appointment	Application for membership for Philhealth, BIR, GSIS, HDMF and Provident Fund of newly appointed permanent employees using their prescribed form complete with all the necessary documents needed. It should be stamped received by the concerned agency.

MAJOR FINAL OUTPUTS		
Tanza Water District		
COMMON OUTPUTS	SUCCESS INDICATORS	OPERATIONAL DEFINITION
Employees' records updated to various agencies	100% records updated two (2) weeks after changes take effect	Member Data Amendment Form (M2) for Philhealth and Profund; Member Change of Information (M2-2) for HDMF. It includes change in marital status, correction in name, address, additional/omission of beneficiaries. For HDMF, merging and transfer of records from previous to present employer is also included. Updated employee record for GSIS includes change in marital status, correction in name, address etc. It is usually specified in the Agency Remittance Advice (ARA) for membership or should be properly endorsed to the concerning department of the GSIS for immediate action.
Orientation for employees conducted	Orientation conducted fifteen (15) days after effectivity of employees' appointment	Orientation for permanent employees is conducted to introduce and familiarize them on ruling of GSIS, HDMF, Provident Fund, Philhealth, CSC and TWD internal rules and regulations.
Petty Cash Fund Report prepared	100% PCFR prepared within one (1) hour upon 75% consumption of the fund	Petty Cash Fund Report contains the summary of all expenses incurred using the petty cash fund.
Annual Procurement Plan (APP) prepared	Entries complete and accurate submitted before end of October	Annual Procurement Plan (APP) is prepared by each division, consolidated by the Finance Division during budget preparation.

MAJOR FINAL OUTPUTS Tanza Water District		
COMMON OUTPUTS	SUCCESS INDICATORS	OPERATIONAL DEFINITION
CASHIERING SERVICES		
Report of Accountability for Accountable Forms	100% accurate report of accountable forms, prepared and submitted every 10th day of the succeeding month	A report indicating serial numbers, total number of issued accountable forms for the month, as well as, deliveries of such if there are any. Accountable forms include Official Receipts (OR), checks etc. Deadline for submission is 10 days after the succeeding month.
Cash Receipts Register (CRR)	100% accurate CRR with complete entries prepared ten (10) days after the succeeding month	Cash Receipts Register (CRR) shall be maintained by the Cashier to monitor the cash collections and deposits and to summarize the breakdown of receipts / income received as of specific date.
Cash Receipts and Deposits Records (CRDR) prepared	100% accurate CRDR with complete entries prepared five (5) days after the succeeding month	Cash Receipts and Deposits Records shall be prepared by each cashier / collecting officer to record his transactions for the day. This shall be certified by the Cashier daily or the end of each month. This record shall serve as a report of the accountable officer on his collections and deposits made.
SUPPLIES AND PROPERTY MANAGEMENT		
Report on Supplies and Materials Issued (RSMI)	100% accurate, prepared and submitted every 10th day of the succeeding month	RSMI: shall be prepared by the Storekeeper every month. Each issued item shall be deducted from the stock card. Stock card and RSMI should have the same quantity for each item.

MAJOR FINAL OUTPUTS Tanza Water District		
COMMON OUTPUTS	SUCCESS INDICATORS	OPERATIONAL DEFINITION
Report on Physical Count of Inventories (RPCI)	Supplies inventory conducted semi-annually. Report submitted on: 1st sem - June; deadline July 15; 2nd sem - end of December; deadline January 15	RPCI: shall be used to report the physical count of supplies by type of inventory as of a given date. It shows the balance of inventory items per card and per count, overage / shortage, if any.
Report on Physical Count of Property, Plant and Equipment	Property, plant and equipment inventory report submitted every 15th day of January.	RPCPPE: shall be used to report the physical count of property, plant and equipment by type as of a given date. It shows the balance of inventory items per cards and per count, overage / shortage, if any.
Property Acknowledgment Receipt prepared	100% PAR prepared one (1) day after delivery of property	The Property Acknowledgment Receipt shall be used to acknowledge the receipt of property and equipment for official use. Prepared by the Property Custodian and signed by the receiving employee.
Report on Repairs and Maintenance of Service Vehicles prepared and updated	100% report on repairs and maintenance prepared five (5) days after succeeding month	A monthly report on the repairs and preventive maintenance of all TWD service vehicle.
LTO registration processed	100% registration of service vehicle one (1) week before the expiration of registration	LTO registration done every year for all service vehicles before the expiration of the current registration to avoid penalty.

MAJOR FINAL OUTPUTS Tanza Water District		
COMMON OUTPUTS	SUCCESS INDICATORS	OPERATIONAL DEFINITION
FINANCE FUNCTIONS		
Pre-closing Trial Balance	100% accurate pre-closing trial balance to be submitted on or before the end of February	The Pre-closing Trial Balance shall be prepared after adjusting journal entries in the General Journal and posting the same to the General Ledger. It shows the adjusted balances of all accounts as of a given period. This is also described as the adjusted trial balance. Approved by the head of agency.
Post-closing Trial Balance	100% accurate post-closing trial balance to be submitted on or before the end of February	The Post-closing Trial Balance shall be prepared after recording the closing journal entries in the General Journal and posting to the General Ledger. It contains a listing of all general ledger accounts that remain open after the closing process is completed. Approved by the head of agency.
Statement of Changes in Equity	100% accurate statement to be submitted on or before the end of February	Approved Statement of Changes in Equity shows financial transactions which resulted to the change in equity at the end of the year. Approved by the head of agency.
Notes to Financial Statements	100% accurate notes to be submitted on or before the end of February	Statement showing all financial notation on key balances of accounts reflected in the financial statement. Approved by the head of agency.
Annual Statement of Income and Expenses	100% accurate statement of income and expense to be submitted on or before the end of February	The Statement of Income and Expenses shows the results of operation / performance of the agency at the end of the year. Approved by the head of agency.

MAJOR FINAL OUTPUTS		
Tanza Water District		
COMMON OUTPUTS	SUCCESS INDICATORS	OPERATIONAL DEFINITION
Annual Statement of Cash Flows	100% accurate statement of cash flows to be submitted on or before the end of February	The Statement of Cash Flows is a statement summarizing all the cash activities of an agency. This includes the operating, investing and financing activities of the entity and provides information on the cash receipts and payments during the year . The primary purpose of SCF is to give relevant information on the agency's overall cash position, liquidity and solvency. Approved by the head of agency.
Year-end Balance Sheet	100% accurate year-end balance sheet to be submitted on or before the end of February	The Balance Sheet is a formal statement which shows the financial condition of the agency as of the end of the year. The Balance Sheet shall be supported by schedules. Approved by the head of agency.
Monthly Statement of Income and Expenses	100% accurate monthly statement to be submitted on or before the 18th day of the following month	The Statement of Income and Expenses shows the results of operation / performance of the agency at the end of the month. Approved by the head of agency.
Monthly Statement of Cash Flows	100% accurate monthly statement of cash flows to be submitted on or before the 18th day of the following month	The Statement of Cash Flows is a statement summarizing all the cash activities of an agency. This includes the operating, investing and financing activities of the entity and provides information on the cash receipts and payments during the month . The primary purpose of SCF is to give relevant information on the agency's overall cash position, liquidity and solvency. Approved by the head of agency.

MAJOR FINAL OUTPUTS		
Tanza Water District		
COMMON OUTPUTS	SUCCESS INDICATORS	OPERATIONAL DEFINITION
Monthly Balance Sheet	100% accurate monthly balance sheet to be submitted on or before the 18th day of the following month	The Balance Sheet is a formal statement which shows the financial condition of the agency as of a certain date. The Balance Sheet shall be supported by schedules. Approved by the head of agency.
Monthly Data Sheet (MDS)	100% accurate MDS to be submitted on or before the 18th day of the following month	Approved summary report of information on service connection, billing and collection, financial data, water production and water quality and other data gathered from different divisions submitted to LWUA. Approved by the head of agency.
Report on Bank Reconciliation	100% accurate report submitted on or before the 18th day of the following month	A report showing reconciled cash balances per banks, books and per daily cash position report of agency's bank accounts. It contains information of outstanding checks, deposit in transit, stale checks and other accounts subject to adjustments. Approved by the head of agency.
Report on the Status of Cash Advances	100% accurate reports submitted on or before the 18th day of the following month	A report on the status of cash advance per employee. Submitted monthly to the head of agency. Approved by the head of agency.
Schedule of Receivables	100% accurate report to be submitted on or before the 18th day of the following month	A report showing the total receivables as of a given month. Approved by the head of agency.
Schedule of Payables	100% accurate report to be submitted on or before the 18th day of the following month	A report showing the agency's total payables of a given month and duly approved by the head of agency.

MAJOR FINAL OUTPUTS Tanza Water District		
COMMON OUTPUTS	SUCCESS INDICATORS	OPERATIONAL DEFINITION
Schedule of Materials Inventory	100% accurate report to be submitted on or before the 18th day of the following month	A report showing the listing of materials and supplies inventory and duly approved by the head of agency.
Lapsing Schedule of UPIS	100% accurate report to be submitted on or before the 18th day of the following month	A report showing the listing of the properties which includes date and acquisition cost, accumulated depreciation and book value duly approved by the head of agency.
Annual Budget	100% accurate annual budget to be submitted on or before the end of November	Consolidated summary of estimated revenues, operation and maintenance exoenses, capital expenditures and other obligations. Approved by the Board of Directors.
Annual Cash Flow Projection (ACFP)	100% accurate ACFP to be submitted on or before the end of November	A projection of the inflow and outflow of cash which involves careful planning of schedules receipts and disbursement to avoid negative cash balance. Approved by the Board of Directors.
Alphalist remittance	100% complete list and attachments submitted on or before January 31	Annual BIR remittance with schedule on tax withheld on compensation as reconciled with payroll, posting of updated salaries and other benefits of employees and generation of BIR Form No. 1604 CF duly approved by the head of agency and submitted to BIR.
Annual Report on Taxes Withheld - EWT	100% complete report and attachments submitted on or before January 31	Annual report on BIR remittance including schedules of tax withheld from suppliers and contractors and posting of raxes to BIR form No. 1604 E; duly approved by the head of agency and submitted to BIR.

MAJOR FINAL OUTPUTS		
Tanza Water District		
COMMON OUTPUTS	SUCCESS INDICATORS	OPERATIONAL DEFINITION
Disbursement Voucher (DV)	100% DVs processed and approved within 1 hour upon receipt	The DV shall be used for all money claims supported with all pertinent documents necessary before payment is made and duly approved by the head of agency.
Check Disbursement Journal (CkDJ)	100% of CkDJ submitted on or before the 15th day of the following month	A journal used to record all check payments or disbursements. All cash outflows are recorded in this journal.
Cash Receipts and Deposits Journal (CRDJ)	100% CRDJ submitted on or before the 15th day of the following month	A journal of all deposits and collections for the month.
Cash Disbursements Journal (CDJ)	100% CDJ submitted on or before the 15th day of the following month	A journal of all cash collections for the month.
General Journal (GJ)	100% GJ submitted on or before the 15th day of the following month	A record of transactions not recorded in the Special Journal. The entries to the journal shall be made only on the bases of duly approved JEVs.
General Ledger (GL)	100% GL updated six (6) hours upon accomplishment of CDJ, CkDJ, GJ, and CRDJ	A record of all financial transactions. Postings to this ledger shall come directly from the GJ.
Subsidiary Ledger (SL)	100% SL updated six (6) hours upon accomplishment of CDJ, CkDJ, GJ, and CRDJ	A record showing the subset of a general ledger account. It contains details to support a GL account.
Journal Entry Voucher (JEV)	100% of JEV processed within five (5) minutes upon request	This is used for all transactions, whether cash receipt, cash disbursement or non-cash transaction.

MAJOR FINAL OUTPUTS Tanza Water District		
COMMON OUTPUTS	SUCCESS INDICATORS	OPERATIONAL DEFINITION
BIR Form No. 1601C	100% prepared on or before the 10th of the following month	This return is filed on or before the 10th day of the month following the month in which withholding was made. This is the monthly remittance return of income taxes withheld on compensation
BIR Form No. 1600	100% prepared on or before the 10th of the following month	This form shall be filed on money payments made to private individuals, corporations, partnerships on or before the 10th day of the month following the month in which withholding was made
BIR Form No. 1601	100% prepared on or before the 10th of the following month	Monthly Remittance Return on Creditable Income Taxes Withheld (Expanded)
BIR Form No. 2551M	100% prepared on or before the 20th of the following month	Monthly Percentage Tax Return. (Franchise Tax)
BIR Form No. 2306	100% of BIR 2306 processed within five (5) minutes upon receipt	Certificate of Final Tax Withheld at Source. (Withholding on VAT)
BIR Form No. 2307	100% of BIR 2307 processed	Certificate of Creditable Tax Withheld at Source. (Expanded Withholding Tax)
TWD Provident Fund Disbursement Voucher (TWD DV)	100% processed within 20 minutes upon receipt	The DV shall be used for all money claims supported with all pertinent documents necessary before payment and/or release of loan proceeds and duly approved by the head of agency.
TWD Provident Fund Cash in Bank Report	100% prepared five (5) working days after the end of the month	A report showing reconciled balances of the provident fund report against the bank balance.

MAJOR FINAL OUTPUTS		
Tanza Water District		
COMMON OUTPUTS	SUCCESS INDICATORS	OPERATIONAL DEFINITION
ENGINEERING / OPERATIONS FUNCTIONS		
Leak repair	100% service requests for leak	Reported leak due to accidents and other incidents which affected the water line which requires quick repair.
Flushing of distribution lines	100% flushing reports accomplished for each assigned flushing area. A total of 36 at the end of December (1st sem - 18; 2nd sem - 18)	Flushing of water lines through blowoffs, hydrants and standpipes. Regular flushing of designated locations to ensure that the water lines are clean. Also, flushing of locations which are reported to have dirty water.
Bacteriological Test	100% bacteriological test results passed. A total of 180 test results by December (1st sem - 90; 2nd sem - 90)	Bacteriological test are conducted monthly by a DOH accredited laboratory to determine the bacteriological content of the water being supplied by the district. It should be within the parameters based on the Philippine National Standards for Drinking Water (PNSWD) 2007. The bacteriological test includes coliform test, fecal coliform test and heterotrophic plate count upon the instruction of the Local Water Utilities Administration.
Physical / Chemical Analysis	100% physical / chemical test results passed. A total of 14 tests results by December (1st sem - 7; 2nd sem - 7)	Physical / chemical test are conducted semi-annually by a DOH accredited laboratory to determine the physical / chemical content of the water being supplied by the district.

MAJOR FINAL OUTPUTS Tanza Water District		
COMMON OUTPUTS	SUCCESS INDICATORS	OPERATIONAL DEFINITION
Project estimate	Number of project estimates with complete details submitted as scheduled.	A detailed estimate of forthcoming projects of the district to provide an approximate cost, materials etc. required for the project.
Pipelaying	Additional 4 kms pipelines installed at Brgy. Paradahan at the end of December.	Pipelaying for project expansion of water system to accommodate demands for water supply and broaden the service area being served by the district. It includes excavation, actual pipelaying and restoration of target location for the project.
Water Sales Operation Report (WSOR)	WSOR prepared monthly within 1 week from the issuance of Daily Billing summary. A total of 12 at the end of December (1st sem - 6; 2nd sem - 6)	A monthly report of the Water Sales Operation comprised of the total number of concessionaires and monthly water consumption gathered from the Commercial Division.
Pump and motor pulled -out and re-installed for maintenance procedures	6 pump motors pulled-out and reinstalled for maintenance procedures as per schedule (1st sem - Pumps 1, 2 & 3; 2nd sem - Pumps 4, 5, 6)	Pull-out of pump and motors are done periodically to ensure that they are functioning well.
COMMERCIAL FUNCTIONS		
Service requests	100% service requests acted upon within two (2) days upon receipt. 1st sem - 720; 2nd sem - 720.	Service requests requested by the concessionaires in person or thru phonecalls, duly responded to by area field personnel to render assistance to the needs of the clients such as: reconnections, safekeeping of water meters, reported leaks, change water meters due to stuck up and damaged water meters and other field work activities as scheduled by the head of the Commercial Division.

MAJOR FINAL OUTPUTS		
Tanza Water District		
COMMON OUTPUTS	SUCCESS INDICATORS	OPERATIONAL DEFINITION
Service connections	100% of new service connections installed within five (5) days upon receipt of application. (1st sem - 320; 2nd sem - 320)	Installation of new service connections after the scheduled initial inspection and final inspection in coordination with the concessionaires, done by the area field personnel team leaders as scheduled by the head of the Commercial Division.
Water bills	Water bills printed and distributed as scheduled (1st two (2) weeks of the month)	After encoding the meter reading in the Billing System, meter check will follow to verify those with abrupt increase or decrease in consumption. After that, water bills will be printed and distributed by the meter readers to the concessionaires.

STRATEGIC PMS CALENDAR

Activity	Submit to	Schedule											
		Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec

1. Performance Planning and Commitment

OPCR for review	PMT										5th		
PMT review report	General Manager											5th	
Agency Head approval of OPCR													5th
IPCR	Dept. Manager / Head of Office	15th						15th					
	HRMO	20th						20th					

2. Performance Monitoring and Coaching

Monitoring by:		
• Agency Head		Once a year
• PMT		Per semester
• Head of Office		Regular basis
• Individual Staff		Regular basis
Form	PMT	After end of quarter

3. Performance Review and Feedback

OPCR	PMT	eo mo						eo mo					
PMT to review, evaluate, OPCR against targets and return validated OPCR to offices			10th						10th				
PMT to submit Office performance assessment and facilitate performance review by the Agency	General Manager		20th						20th				
Annual Performance Review	General Manager		eo mo										
IPCR	Dept. Manager / Head of Office		15th						15th				
Heads of Office submit IPCR			eo mo						eo mo				

4. Performance Rewarding and Development Planning

PMT to submit Top performers list	Agency Head			15th									
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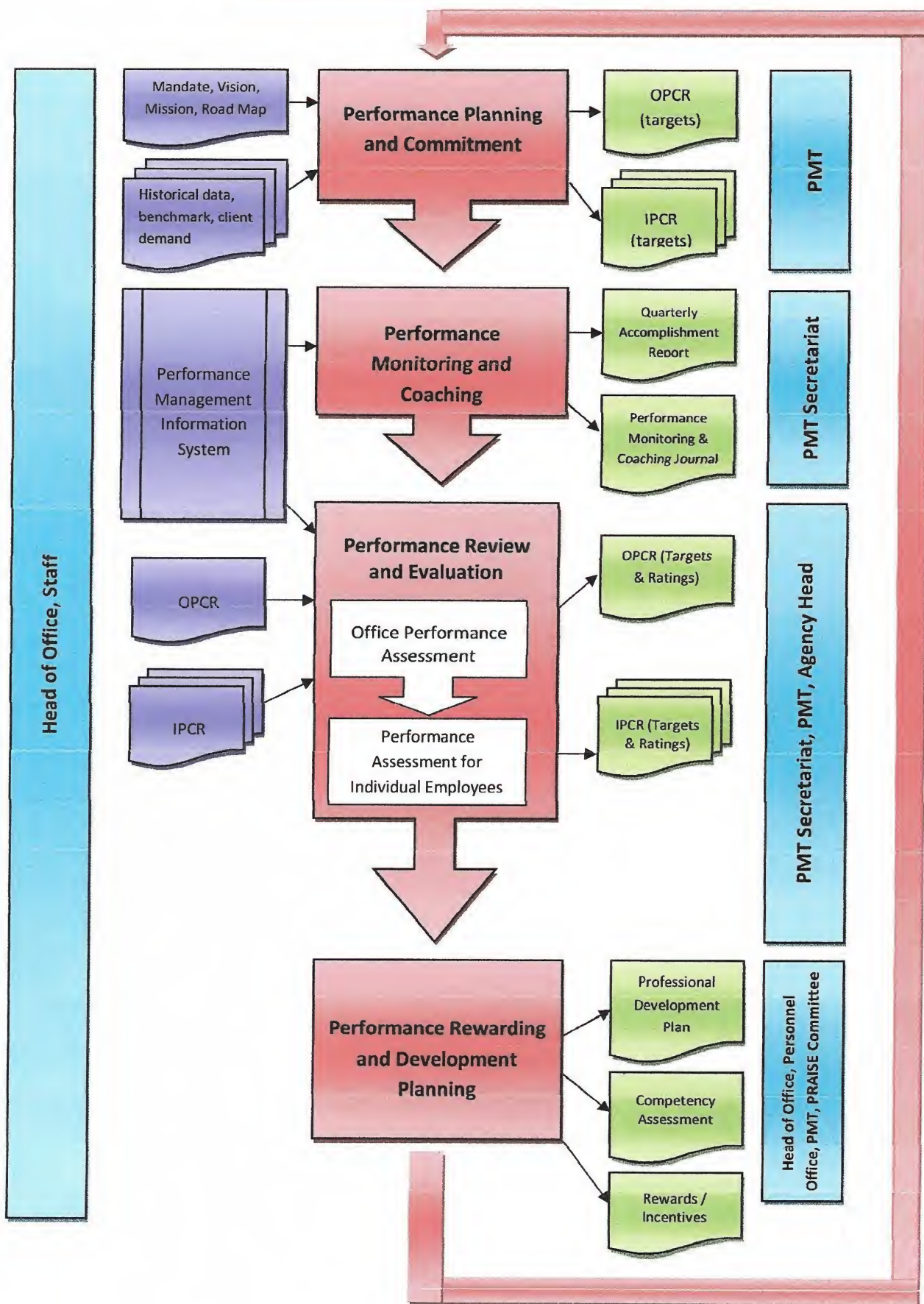
Other Activities

SPMS Orientation	HRM												November 2012
SPMS Pilot Testing	TWD												January - June 2013

Note: In the event that the deadline falls on a non-working holiday, submission will be on the next working day.

PMS PROCESS FLOWCHART

Annex G



Annex H

SAMPLE SUMMARY LIST OF INDIVIDUAL PERFORMANCE RATINGS

OFFICE A	RATING	
	Numerical	Adjectival
Employee 1	4	Very Satisfactory
Employee 2	5	Outstanding
Employee 3	3	Satisfactory
Employee 4	4	Very Satisfactory
Employee 5	4	Very Satisfactory
No. of Employees = 5	20/5= 4	Very Satisfactory
Average ratings of staff		
OFFICE A	Performance Assessment: Very Satisfactory	

Annex I

SAMPLE PERFORMANCE MONITORING AND COACHING JOURNAL

	1st	Quarter
	2nd	
	3rd	
	4th	

Name of Office

Head of Office

Number of Personnel in the Office

Activity	Mechanism/s			Remarks
	Meeting		Memo	
	One-in-One	Group		
			Others (pls. specify)	
Monitoring				
Coaching				

Please indicate the date in the appropriate box when the monitoring was conducted.

Conducted by:	Date:	Noted by:	Date:
Head of Office		General Manager	

Annex J

PERFORMANCE MONITORING AND COACHING

(Illustration showing a Sample Tracking Tool for Monitoring Targets)

MFO	Tasks	Assigned to	Duration	Task Status				Remarks
				Week 1	Week 2	Week 3	Week 4	
Pipelaying	1.1 Planning	Staff A	1 month					tasks 1.2, 1.3, and 1.4 are done simultaneously
	1.2 Excavation of paved and unpaved area	Staffs B-F	2 months					
	1.3 Laying out of pipes (PE /PVC and fittings)	Staffs G-K	2 months					
	1.4 Back filling	Staffs B-F	2 months					
	1.5 Leak test upon installation	Staffs G-K	2 weeks					
	1.6 Restoration of excavated areas	Staffs B-K	1 1/2 months					
Service Connections	1.1 Initial inspection	Staff G	2nd day					
	1.2 Second inspection	Staff H	4th day					
	1.3 Installation of meters and other fittings	Staff I-J	5th day					
	1.4 Testing	Staff I-J	5th day					

Annex K

PERFORMANCE MONITORING AND COACHING

(Illustration showing a Sample Tracking Tool for Monitoring Assignments)

[illegible]

PERFORMANCE REWARDING AND DEVELOPMENT
Professional Development Plan

Date: _____

Target date	
Review date	
Achieved date	

Aim	
Objective	

Task	Next Step
Comments	

MC No. 6, s. 2012

MEMORANDUM CIRCULAR

TO : ALL HEADS OF CONSTITUTIONAL BODIES;
DEPARTMENTS, BUREAUS AND AGENCIES OF THE
NATIONAL GOVERNMENT; LOCAL GOVERNMENT UNITS;
GOVERNMENT-OWNED AND/OR CONTROLLED
CORPORATIONS (GOCCs) WITH ORIGINAL CHARTERS;
AND STATE UNIVERSITIES AND COLLEGES

SUBJECT : Guidelines in the Establishment and Implementation of
Agency Strategic Performance Management System (SPMS)

Item 1 (d) of the Joint Resolution No. 4 (Governing Principles of the Modified Compensation and Position Classification System and Base Pay Schedule of the Government) of the Congress of the Philippines, states that "a performance-based incentive scheme which integrates personnel and organizational performance shall be established to reward exemplary civil servants and well performing institutions"

Moreover, Item 4 of Joint Resolution No. 4 provides that "Step increments – an employee may progress from step 1 to step 8 of the salary grade allocation of his/her position in recognition of meritorious performance based on **performance management system approved by the CSC** and/or through length of service, in accordance with the rules and regulations to be promulgated jointly by the DBM and the CSC."

Item 17 (c) of Joint Resolution No. 4 likewise states that "the CSC, in developing the Performance Management System, shall ensure that personnel performance shall be linked with organizational performance in order to enhance the performance orientation of the compensation system."

Section 5 of Administrative Order No. 241 provides that "agencies shall institute a Performance Evaluation System based on objectively measured output and performance of personnel and units, such as the Performance Management System-Office Performance Evaluation System developed by the CSC";

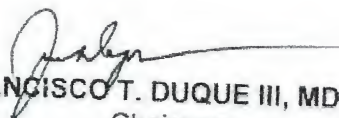
Further, Administrative Order No. 25 dated December 21, 2011, was issued with the end in view of developing a collaborative mechanism to "establish a unified and integrated Results-Based Performance Management System (RBPMS) across all departments and agencies within the Executive Branch of Government incorporating a common set performance scorecard, and creating an accurate, accessible, and up-to-date government-wide, sectoral and organizational performance information system."

*In a **Race** to Serve: **R**esponsive, **A**ccessible, **C**ourteous and **E**ffective Public Service*

In view thereof, the Commission has promulgated in CSC Resolution No. 1200481 dated March 16, 2012, the attached Guidelines in the Establishment and Implementation of Agency Strategic Performance Management System (SPMS).

All policies and issuances of the Commission which do not conform to the attached guidelines are superseded, repealed, amended or modified accordingly.

These guidelines shall take effect immediately.


FRANCISCO T. DUQUE III, MD, MSc
Chairman

MAR 19 2012



Annex N

Guidelines in the Establishment
and Implementation of Agency Strategic
Performance Management System (SPMS)

Number: 1200481
Promulgated: 16 MAR 2012

X ----- X

RESOLUTION

WHEREAS, Section 3, Article IX-B of the 1987 Philippine Constitution mandates the Civil Service Commission, as the central personnel agency of the Government, to *"establish a career service and adopt measures to promote morale, efficiency, integrity, responsiveness, progressiveness, and courtesy in the civil service. It shall strengthen the merit and rewards system, integrate all human resources development programs for all levels and ranks, and institutionalize a management climate conducive to public accountability. x x x"*

WHEREAS, the Commission as the central personnel agency of the Government is mandated by law to promulgate policies, standards and guidelines to effectively administer the civil service;

WHEREAS, Section 33, Chapter 5, Book V of Executive Order No. 292, provides that *"there shall be established a performance evaluation system, which shall be administered in accordance with rules, regulations and standards promulgated by the Commission for all officers and employees in the career service. Such performance evaluation system shall be administered in such manner as to continually foster the improvement of individual employee efficiency and organizational effectiveness;*

WHEREAS, Item 1 (d) of the Joint Resolution No. 4 (Governing Principles of the Modified Compensation and Position Classification System and Base Pay Schedule of the Government) of the Congress of the Philippines, states that *"a performance-based incentive scheme which integrates personnel and organizational performance shall be established to reward exemplary civil servants and well performing institutions"*

WHEREAS, Item 4 of Joint Resolution No. 4 provides that *"Step increments – an employee may progress from step 1 to step 8 of the salary grade allocation of his/her position in recognition of meritorious performance based on **performance management system approved by the CSC** and/or through length of service, in accordance with the rules and regulations to be promulgated jointly by the DBM and the CSC";*

WHEREAS, Item 17 (c) of Joint Resolution No. 4 likewise states that *"the CSC, in developing the Performance Management System, shall ensure that personnel performance shall be linked with organizational performance in order to enhance the performance orientation of the compensation system;*

WHEREAS, Section 5 of Administrative Order No. 241 provides that *"agencies shall institute a Performance Evaluation System based on objectively measured output and performance of personnel and units, such as the Performance Management System-Office Performance Evaluation System developed by the CSC"*

In a **R**ace to Serve: **R**esponsive, **A**ccessible, **C**ourteous and **E**ffective Public Service

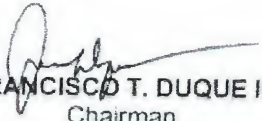
WHEREAS, Administrative Order No. 25 dated December 21, 2011, was issued with the end in view of developing a collaborative mechanism to "establish a unified and integrated Results-Based Performance Management System (RBPMS) across all departments and agencies within the Executive Branch of Government incorporating a common set performance scorecard, and creating an accurate, accessible, and up-to-date government-wide, sectoral and organizational performance information system."

WHEREFORE, the Commission **RESOLVES** to direct agencies to establish and implement a Strategic Performance Management System (SPMS) based on the attached Guidelines.

All policies and issuances of the Commission which do not conform to the attached guidelines are superseded, repealed, amended or modified accordingly.

This Resolution shall take effect immediately.

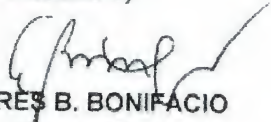
Quezon City.


FRANCISCO T. DUQUE III
Chairman


MARYANN Z. FERNANDEZ-MENDOZA
Commissioner

On Leave
RASOL L. MITMUG
Commissioner

Attested by:


DOLORES B. BONIFACIO
Director IV
Commission Secretariat and Liaison Office

GUIDELINES IN THE ESTABLISHMENT OF AGENCY STRATEGIC PERFORMANCE MANAGEMENT SYSTEM (SPMS)

Part 1: The SPMS

I. Background

The Civil Service Commission, as the central human resource management agency of the Philippine bureaucracy is constitutionally mandated to adopt measures to promote morale, efficiency, integrity, responsiveness and courtesy in the civil service. It is likewise tasked to institutionalize a management climate conducive to public accountability.

Among the mandatory human resource systems under the Revised Administrative Code of 1987 is the Performance Evaluation System which shall be administered in accordance with rules and regulations and standards promulgated by the Commission. Such performance evaluation system shall be administered to continually foster the improvement of individual employee efficiency and organizational effectiveness.

Through the years, the CSC has implemented several performance evaluation/appraisal systems. These systems, however, focus only on individual appraisals which are pre-requisites for promotion and other personnel actions including separation and performance based incentives. The link between appraisals and personnel action and incentives and the lack of a parallel system to enable validation/comparison between organizational effectiveness and employee performance resulted to low system integrity due to its unreliability and subjectivity.

To address the gaps and weaknesses found in previous performance evaluation systems, the CSC pilot tested the Strategic Performance Management System or the SPMS. The SPMS gives emphasis to the strategic alignment of the CSC's thrusts with the day-to-day operations of the CSC units. The SPMS focuses on measures of performance results that are reviewable over the period of the implementation of the CSC Road Map vis-à-vis targeted milestones and provides a scientific and verifiable basis in assessing organizational performance and the collective performance of individuals within the organization.

The Strategic Performance Management System (SPMS) strengthened the culture of performance and accountability in the CSC.

II. The SPMS Concept

The SPMS is focused on linking individual performance vis-à-vis the agency's organizational vision, mission and strategic goals. It is envisioned as a technology composed of strategies, methods and tools for ensuring fulfilment of the functions of the offices and its personnel as well as for assessing the accomplishments.¹

It is a mechanism that ensures that the employee achieves the objectives set by the organization and the organization, on the other hand, achieves the objectives that it has set itself in its strategic plan.

¹ The PMS-CPES: Re-inventing the performance management system of the bureaucracy, Annex A of CSC Resolution No 1100224

Performance management system is the heart of the human resource system because information produced from it is useful in human resource planning, management and decision making processes.

The SPMS follows the four-stage PMS cycle: **performance planning and commitment, performance monitoring and coaching, performance review and evaluation, performance rewarding and development planning.**

To complement and support the SPMS, the following enabling mechanisms must be present, operational and maintained:

- A Recruitment System that identifies competencies and other attributes required for particular jobs or functional groups;
- An adequate Rewards and Incentives System;
- Mentoring and coaching program;
- An Information Communication Technology (ICT) that supports project documentation, knowledge management, monitoring and evaluation;
- Change management program; and
- Policy review and formulation.

III. General Objectives

The SPMS shall be prepared and administered to:

- a. Concretize the linkage of organizational performance with the Philippine Development Plan, the Agency Strategic Plan, and the Organizational Performance Indicator Framework;
- b. Ensure organizational effectiveness and improvement of individual employee efficiency by cascading institutional accountabilities to the various levels of the organization anchored on the establishment of rational and factual basis for performance targets and measures; and
- c. Link performance management with other HR systems and ensure adherence to the principle of performance-based tenure and incentive system.

IV. BASIC ELEMENTS

The SPMS shall include the following basic elements:

- a. **Goal Aligned to Agency Mandate and Organizational Priorities.** Performance goals and measurement are aligned to the national development plans, agency mandate/vision/mission and strategic priorities and/or organizational performance indicator framework. Standards are pre-determined to ensure efficient use and management of inputs and work processes. These standards are integrated into the success indicators as organizational objectives are cascaded down to operational level.
- b. **Outputs/Outcomes-based.** The system puts premium on major final outputs that contributes to the realization of organizational mandate, mission/vision, strategic priorities, outputs and outcomes.
- c. **Team-approach to performance management.** Accountabilities and individual roles in the achievement of organizational goals are clearly defined to give way to collective goal setting and performance rating. Individual's work plan or commitment and rating form is linked to the division/unit/office

work plan or commitment and rating form to establish clear linkage between organizational performance and personnel performance.

- d. **User-friendly.** The forms used for both the organizational and individual performance are similar and easy to accomplish. The organizational and individual major final outputs and success indicators are aligned to facilitate cascading of organizational goals to the individual staff members and the harmonization of organizational and individual performance ratings.
- e. **Information System that supports Monitoring and Evaluation.** Monitoring and Evaluation mechanisms and Information System are vital component of the SPMS in order to facilitate linkage between organizational and employee performance. The M&E and Information System will ensure generation of timely, accurate, and reliable information for both performance monitoring/tracking, accomplishment reporting, program improvement and policy decision-making.
- f. **Communication Plan.** A program to orient agency officials and employees on the new and revised policies on SPMS shall be implemented. This is to promote awareness and interest on the system, generate employees' appreciation for the agency SPMS as a management tool for performance planning, control and improvement, and guarantee employees' internalization of their role as partners of management and co-employees in meeting organizational performance goals.

V. KEY PLAYERS AND RESPONSIBILITIES

- a) **SPMS Champion (Agency Head)**
 - Primarily responsible and accountable for the establishment and implementation of the SPMS.
 - Sets agency performance goals/objectives and performance measures.
 - Determines agency target setting period.
 - Approves office performance commitment and rating.
 - Assesses performance of Offices.
- b) **Performance Management Team (PMT).** A PMT shall be established in every agency preferably with the following composition:
 - 1) Executive official designated by the Head of Agency as Chairperson
 - 2) Highest Human Resource Management Officer or the career service employee directly responsible for human resource management
 - 3) Highest Human Resource Development Officer or the career service employee directly responsible for personnel training and development
 - 4) Highest Planning Officer or the career service employee directly responsible for organizational planning
 - 5) Highest Finance Officer or the career service employee directly responsible for financial management
 - 6) President of the accredited employee association in the agency or the authorized alternate representative. In offices where there are no accredited or recognized employee associations/unions, the rank and file representative shall be chosen through a general election or assembly

At the regional level, the PMT shall, whenever applicable, be composed of the following:

- 1) Executive official designated by the Regional Head as Chairperson
- 2) Highest officer in charge of human resource management
- 3) Highest officer in charge of financial management
- 4) Highest officer in charge of organizational planning
- 5) Representative of the rank and file employee

The PMT shall have the following functions and responsibilities:

- Sets consultation meeting of all Heads of Offices for the purpose of discussing the targets set in the office performance commitment and rating form.
- Ensures that Office performance targets and measures, as well as the budget are aligned with those of the agency and that work distribution of Offices/units is rationalized.
- Recommends approval of the office performance commitment and rating to the Head of Agency.
- Acts as appeals body and final arbiter for performance management issues of the agency.
- Identifies potential top performers and provide inputs to the PRAISE Committee for grant of awards and incentives.
- Adopts its own internal rules, procedures and strategies in carrying out the above responsibilities including schedule of meetings and deliberations, and delegation of authority to representatives in case of absence of its members.

The Planning Office shall serve as the PMT Secretariat.

c) Planning Office

- Monitors submission of Office Performance Commitment and Review Form and schedule the review/evaluation of Office Commitments by the PMT before the start of a performance period.
- Consolidates, reviews, validates and evaluates the initial performance assessment of the Heads of Offices based on reported Office accomplishments against the success indicators, and the allotted budget against the actual expenses. The result of the assessment shall be the basis of PMT's recommendation to the Head of Agency who shall determine the final Office rating.
- Conducts an agency performance planning and review conference annually for the purpose of discussing the Office assessment for the preceding performance period and plans for the succeeding rating period with concerned Heads of Offices. This shall include participation of the Financial Office as regards budget utilization.
- Provides each Office with the final Office Assessment to serve as basis of offices in the assessment of individual staff members.

d) Human Resource Management Office

- Monitors submission of Individual Performance Commitment and Review Form by heads of offices.
- Reviews the Summary List of Individual Performance Rating to ensure that the average performance rating of employees is equivalent to or not

higher than the Office Performance Rating as recommended by the PMT and approved by the Head of Agency.

- Provides analytical data on retention, skill/competency gaps, and talent development plans that align with strategic plans.
- Coordinates developmental interventions that will form part of the HR Plan.

e) **Head of Office (Director IV or equivalent)**

- Assumes primary responsibility for performance management in his/her Office.
 - Conducts strategic planning session with the supervisors and staff and agree on the outputs that should be accomplished based on the goals/objectives of the organization and submits the Office Performance Commitment and Review Form to the Planning Office.
 - Reviews and approves individual employee's Performance Commitment and Review form for submission to the HRM Office/Personnel Office before the start of the performance period.
 - Submits a quarterly accomplishment report to the Planning Office based on the PMS calendar² (Annex D).
 - Does initial assessment of office's performance using the approved Office Performance Commitment and Review form.
 - Determines final assessment of performance level of the individual employees in his/her office based on proof of performance.
 - Informs employees of the final rating and identifies necessary interventions to employees based on the assessment of developmental needs.
- Recommends and discuss a development plan with the subordinates who obtain **Unsatisfactory** performance during the rating period not later than one (1) month after the end of the said period and prepares written notice/advice to subordinates that a succeeding Unsatisfactory performance shall warrant their separation from the service.
 - Provides preliminary rating to subordinates showing **Poor** performance not earlier than the third (3rd) month of the rating period. A development plan shall be discussed with the concerned subordinate and issue a written notice that failure to improve their performance shall warrant their separation from the service.

f) **Division Chief or equivalent**

- Assumes joint responsibility with the Head of Office in ensuring attainment of performance objectives and targets
- Rationalizes distribution of targets/tasks
- Monitors closely the status of the performance of their subordinates and provide support and assistance through the conduct of coaching for the attainment of targets set by the Division/Unit and individual employee.
- Assesses individual employees' performance
- Recommends developmental intervention

² The timetable for the preparation, review and approval of performance targets, standards, and ratings.

g) Individual Employees

- Act as partners of management and their co-employees in meeting organizational performance goals

Part 2 : The SPMS Process

I. The SPMS Cycle

The SPMS shall follow the same **four-stage PMS cycle** that underscores the importance of performance management.

Stage 1: Performance Planning and Commitment

This is done at the start of the performance period where Heads of Offices meet with the supervisors and staff and agree on the outputs that should be accomplished based on the goals/objectives of the organization.

During this stage, **success indicators** are determined. Success indicators are performance level yardsticks consisting of **performance measures and performance targets**. This shall serve as bases in the office and individual employee's preparation of their performance contract and rating form.

Performance measures (Annex C) need not be many. Only those that contribute to or support the outcomes that the Agency aims to achieve shall be included in the office performance contract, i.e., measures that are relevant to Agency's core functions and strategic priorities. The performance measures must be continuously refined and reviewed.

Performance measures shall include any one, combination of, or all of the following general categories, whichever is applicable:

Category	Definition
Effectiveness/Quality	The extent to which actual performance compares with targeted performance The degree to which objectives are achieved and the extent to which targeted problems are solved In management, effectiveness relates to <i>getting the right things done</i>
Efficiency	The extent to which time or resources is used for the intended task or purpose. Measures whether targets are accomplished with a minimum amount or quantity of waste, expense, or unnecessary effort
Timeliness	Measures whether the deliverable was done on time based on the requirements of the law and/or clients/stakeholders Time-related performance indicators evaluate such things as project completion deadlines, time management skills and other time-sensitive expectations

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Heads of agencies shall cause the determination of their "agency target setting period",³ a period within which the office and employees' targets are set and discussed by the raters and the ratees, reviewed and concurred by the head of the department or office and submitted to the PMT.

The Agency Road Map, Agency Strategic Plan, Annual Investment Plan, etc. shall be the basis of the targets of Offices. Aside from the Office commitments explicitly identified under each Strategic Priority in the Road Map, **major final outputs**⁴ that contribute to the attainment of organizational mission/vision which form part of the **core functions**⁵ of the Office shall be indicated as performance targets.

The targets shall take into account any combination of, or all of the following:

- **Historical data.** The data shall consider past performance.
- **Benchmarking.** This involves identifying and comparing the best agencies or institutions or units within the agency with similar functions or processes. Benchmarking may also involve recognizing existing standards based on provisions or requirements of the law.
- **Client demand.** This involves a bottom-up approach where the Office sets targets based on the needs of its clients. The Office may consult with stakeholders and review the feedback on its services.
- **OPES Reference Table** - list of major final outputs with definition and corresponding OPES points⁶
- **Top Management instruction.** The Head of Agency may set targets and give special assignments.
- **Future trend.** Targets may be based from the results of the comparative analysis of the actual performance of the Office with its potential performance.

In setting work targets, the Office shall likewise indicate the detailed budget requirements per expense account to help the agency head in ensuring a strategy driven budget allocation and in measuring cost efficiency. The Office shall also identify specific division/unit/group/individuals as primarily accountable for producing a particular target output per program/project/activity. These targets, performance measures, budget and responsibility centers are summarized in the Office Performance Commitment and Review Form (OPCR) (**Annex A**).

The approved Office Performance Commitment and Review Form shall serve as basis for individual performance targets and measures to be prepared in the Individual Employee's Performance Commitment and Review Form (IPCR) (**Annex B**).

Unless the work output of a particular duty has been assigned pre-set standards by management, its standards shall be agreed upon by the supervisors and the ratees.

³ Before the start of the performance period

⁴ MFOs are goods and services that a department/agency is mandated to deliver to external clients through the implementation of programs, activities and projects (per DBM published *Organizational Indicator Framework (OPIF) Book of Outputs for 2011*).

⁵ Core functions are those performed by the Office which are inherent in its mandates.

⁶ OPES points refers to the time within which an output will be produced by an average performer.

Individual employees' performance standards shall not be lower than the agency's standards in its approved Office Performance Commitment and Review form.

Stage 2: Performance Monitoring and Coaching

During the performance monitoring and coaching phase, the performance of the Offices and every individual shall be regularly monitored at various levels: i.e., the Head of Agency, Planning Office, Head of Office, Division Head and individual, on a regular basis.

Monitoring and evaluation mechanisms should be in place to ensure that timely and appropriate steps can be taken to keep a program on track and to ensure that its objectives or goals are met in the most effective manner (**Annex H, I and J**). Also a very vital tool of management at this stage is an information system that will support data management to produce timely, accurate and reliable information for program tracking and performance monitoring/reporting.

Supervisors and coaches play a critical role at this stage. Their focus is on the critical function of managers and supervisors as coaches and mentors in order to provide an enabling environment/intervention to improve team performance; and manage and develop individual potentials.

Stage 3: Performance Review and Evaluation (Office Performance and Individual Employee's Performance)

This phase aims to assess both Office and individual employee's performance level based on performance targets and measures as approved in the office and individual performance commitment contracts.

The results of assessment of Office and individual performance shall be impartial owing to scientific and verifiable basis for target setting and evaluation.

• Office Performance Assessment

The Planning Office or any responsible unit in the agency shall consolidate, review, validate and evaluate the initial performance assessment of the Heads of Offices based on reported Office accomplishments against the success indicators, and the allotted budget against the actual expenses. The result of the assessment shall be submitted to the PMT for calibration and recommendation to the Head of Agency. The Head of Agency shall determine the final rating of offices/units.

An agency performance review conference shall be conducted annually by the Planning Office for the purpose of discussing the Office assessment with concerned Heads of Offices. This shall include participation of the Financial Office as regards budget utilization. To ensure complete and comprehensive performance review, all Offices shall submit a quarterly accomplishment report to the Planning Office based on the SPMS calendar⁷ (**Annex D**).

⁷ The timetable for the preparation, review and approval of performance targets, standards, and ratings.

Any issue/ appeal/protest on the Office assessment shall be articulated by the concerned head of office and decided by the agency head during this conference, hence the final rating shall no longer be appealable/contestable after the conference.

The Planning Office shall provide each Office with the final Office Assessment to serve as basis of offices in the assessment of individual staff members.

• **Performance Assessment for Individual Employees**

The immediate supervisor shall assess individual employee performance based on the commitments made at the beginning of the rating period. The performance rating shall be based solely on records of accomplishment; hence, there is no need for self rating.

The SPMS puts premium on **major final outputs** towards realization of organizational mission/vision. Hence, rating for planned and/or intervening tasks shall always be supported by reports, documents or any outputs as proofs of actual performance. In the absence of said bases or proofs, a particular task shall not be rated and shall be disregarded.

The supervisor shall indicate qualitative comments, observations and recommendations in the individual employee's performance commitment and review form to include competency assessment⁸ and critical incidents⁹ which shall be used for human resource development purposes such as promotion and other interventions.

Employee's assessment shall be discussed by the supervisor with the concerned ratee prior to the submission of the individual employee's performance commitment and review form to the Head of Office.

The Head of Office shall determine the final assessment of performance level of the individual employees in his/her Office based on proof of performance. The final assessment shall correspond to the adjectival description of Outstanding, Very Satisfactory, Satisfactory, Unsatisfactory or Poor.

The Head of Office may adopt appropriate mechanism to assist him/her distinguish performance level of individuals, such as but not limited to peer ranking and client feedback.

The **average** of all individual performance assessments shall **not** go higher than the collective performance assessment of the Office.

The Head of Office shall ensure that the employee is notified of his/her final performance assessment and the Summary List of Individual Ratings (**Annex E**) with

⁸ Competencies are observable, measurable and vital behavioral skills, knowledge and personal attributes that are translations or organizational capabilities deemed essential for success. Competencies shall be identified for a particular position or job family.

⁹ Record of events, happenings or actual information affecting the overall accomplishments of the employee during the particular rating period

the attached IPCRs are submitted to the HRM Office/Personnel Office within the prescribed period.

Stage 4: Performance Rewarding and Development Planning

Part of the individual employee's evaluation is the competency assessment vis-à-vis the competency requirements of the job. The result of the assessment shall be discussed by the Heads of Office and supervisors with the individual employee at the end of each rating period. The discussion shall focus on the strengths, competency-related performance gaps and the opportunities to address these gaps, career paths and alternatives.

The result of the competency assessment shall be treated independently of the performance rating of the employee.

Appropriate developmental interventions shall be made available by the Head of Office and supervisors in coordination with the HRM Office/Personnel Office.

A professional development plan (**Annex K**) to improve or correct performance of employees with Unsatisfactory and Poor performance ratings must be outlined, including timelines, and monitored to measure progress.

The results of the performance evaluation/assessment shall serve as inputs to the:

- a. Heads of Offices in identifying and providing the kinds of interventions needed, based on the developmental needs identified;
- b. Agency HRM Office/Personnel Office in consolidating and coordinating developmental interventions that will form part of the HR Plan and the basis for rewards and incentives;
- c. PMT in identifying potential PRAISE Awards nominees for various awards categories; and,
- d. PRAISE Committee in determining top performers of the Agency who qualify for awards and incentives.

II. Rating Period

Performance evaluation shall be done semi-annually. However, if there is a need for a shorter or longer period, the minimum appraisal period is at least ninety (90) calendar days or three (3) months while the maximum is not longer than one (1) calendar year.

Various rating scales may be used for specific sets of measures. However, in general, there shall be five-point rating scale (1 to 5), 5 being the highest and 1, the lowest.

SPMS RATING SCALE

Rating		Description
Numerical	Adjectival	
5	Outstanding	Performance represents an extraordinary level of achievement and commitment in terms of quality and time, technical skills and knowledge, ingenuity, creativity and initiative. Employees at this performance level should have demonstrated exceptional job mastery in all major areas of responsibility. Employee achievement and contributions to the organization are of marked excellence.
4	Very Satisfactory	Performance exceeded expectations. All goals, objectives and targets were achieved above the established standards.
3	Satisfactory	Performance met expectations in terms of quality of work, efficiency and timeliness. The most critical annual goals were met.
2	Unsatisfactory	Performance failed to meet expectations, and/or one or more of the most critical goals were not met.
1	Poor	Performance was consistently below expectations, and/or reasonable progress toward critical goals was not made. Significant improvement is needed in one or more important areas.

III. Submission of Agency SPMS to CSC

The Agency SPMS could be any of the following:

- A system currently used by the agency which conforms to the basic features of the SPMS;
- A revised/enhanced Agency Performance Evaluation System (PES) based on the SPMS guidelines; or
- A new Agency PMS crafted based on the SPMS guidelines.

Agencies shall be required to submit their Agency SPMS to the concerned Civil Service Commission Regional Office for approval starting June 2012.

All agencies should have a CSC-approved SPMS by January 2014. Accordingly, by January 2015, all performance based human resource movements and/or developments/interventions such as promotion, scholarship, training, rewards and incentives shall **only** be based on a CSC-approved SPMS under these guidelines.



Any enhancement and/or amendment of the CSC-approved SPMS shall be submitted to the CSCRO concerned for approval and/or information/reference in the case of Deregulated Agencies.

IV. SPMS Initiation/ Implementation

Agency heads shall:

- a. Constitute a Performance Management Team (PMT).
- b. Review existing Performance Evaluation System and decide on whether the same conforms with the features of the Strategic Performance Management System.
- c. Amend, enhance or develop Agency Performance Management System and submit the same to CSC for review/approval.
- d. Conduct orientation and reorientation on the new and revised policies on SPMS for all employees. This is to promote awareness and interest on the system, generate employees' appreciation for the agency SPMS as a management tool for performance planning, control and improvement, and guarantee employees' internalization of their role as partners of management and co-employees in meeting organizational performance goals.
- e. Administer the approved Agency SPMS in accordance with these guidelines/standards.
- f. Provide the Civil Service Commission Regional/Field Office concerned with a copy of the Consolidated Individual Performance Review Reports indicating alignment of the collective individual performance rating with the Organizational/Office Performance Rating.

V. Uses of Performance Ratings

- a. Security of tenure of those holding permanent appointments is not absolute but is based on performance.

Employees who obtained **Unsatisfactory** rating for one rating period or exhibited poor performance shall be provided appropriate developmental intervention by the Head of Office and supervisor (Division/Unit Head), in coordination with the HRM Office/Personnel Office, to address competency-related performance gaps.

If after advice and provision of developmental intervention, the employee still obtains Unsatisfactory ratings in the immediately succeeding rating period or Poor rating for the immediately succeeding rating period, he/she may be dropped from the rolls. A written notice/advice from the head of office at least 3 months before the end of the rating period is required.

- b. The PMT shall validate the Outstanding performance ratings and may recommend concerned employees for performance-based awards. Grant of performance-based incentives shall be based on the final ratings of employees as approved by the Head of Office.
- c. Performance ratings shall be used as basis for promotion, training and scholarship grants and other personnel actions.

Employees with Outstanding and Very Satisfactory performance ratings shall be considered for the above mentioned personnel actions and other related matters.

- d. Officials and employees who shall be on official travel, approved leave of absence or training or scholarship programs and who have already met the required minimum rating period of 90 days shall submit the performance commitment and rating report before they leave the office.

For purposes of performance-based benefits, employees who are on official travel, scholarship or training within a rating period shall use their performance ratings obtained in the immediately preceding rating period.

- e. Employees who are on detail or secondment to another office shall be rated in their present or actual office, copy furnished their mother office. The ratings of those who were detailed or seconded to another office during the rating period shall be consolidated in the office, either the mother (plantilla) office or present office, where the employees have spent majority of their time during the rating period.

Part 3 : Miscellaneous Provisions

I. Technical Assistance to Agencies

Heads of agencies may request technical assistance from the CSC Regional/Field Office concerned on the development, implementation, or refinement of their Agency SPMS.

II. Sanctions

Unless justified and accepted by the PMT, non-submission of the Office Performance Commitment and Review form to the PMT, and the Individual employee's Performance Commitment and Review forms to the HRM Office/Personnel Office within the specified dates shall be a ground for:

- a. Employees' disqualification for performance-based personnel actions which would require the rating for the given period such as promotion, training or scholarship grants and performance enhancement bonus, if the failure of the submission of the report form is the fault of the employees.
- b. An administrative sanction for violation of reasonable office rules and regulations and simple neglect of duty for the supervisors or employees responsible for the delay or non-submission of the office and individual performance commitment and review report.
- c. Failure on the part of the Head of Office to comply with the required notices to their subordinates for their unsatisfactory or poor performance during a rating period shall be a ground for an administrative offense for neglect of duty.

- d. Non-submission of agency SPMS to the Civil Service Commission for review/approval shall be a ground for disapproval of promotional appointments issued by concerned agency heads.

III. Appeals

- a. Office performance assessment as discussed in the performance review conference shall be final and not appealable. Any issue/appeal on the initial performance assessment of an Office shall be discussed and decided during the performance review conference.
- b. Individual employees who feel aggrieved or dissatisfied with their final performance ratings can file an appeal with the PMT within ten (10) days from the date of receipt of notice of their final performance evaluation rating from the Head of Office. An office/unit or individual employee, however, shall not be allowed to protest the performance ratings of other office/unit or co-employees. Ratings obtained by other office/unit or employees can only be used as basis or reference for comparison in appealing one's office or individual performance rating.
- c. The PMT shall decide on the appeals within one month from receipt.

Appeals lodged at any PMT shall follow the hierarchical jurisdiction of various PMTs in an agency. For example, the decision of the Provincial PMT is appealable to the Regional PMT which decision is in turn appealable to the National/Central Office PMT.

The decision of the PMT in the central office or departments may be appealed to the head of office.
- d. Officials or employees who are separated from the service on the basis of Unsatisfactory or Poor performance rating can appeal their separation to the CSC or its regional office within 15 days from receipt of the order or notice of separation.



Part 4 : ANNEXES

A. Office Performance Commitment and Review Form

OFFICE PERFORMANCE COMMITMENT AND REVIEW (OPCR)

I, _____, Head of the _____, commit to deliver and agree to be rated on the attainment of the following targets in accordance with the indicated measures for the period _____ to _____, 20____.

Director IV

etc: _____

Approved by: _____

<Name of Agency Head>
Head of Agency

Date

5 - Outstanding
4 - Very Satisfactory
3 - Satisfactory
2 - Unsatisfactory

MFO/PAP	SUCCESS INDICATORS (TARGETS + MEASURES)	Allotted Budget	Division/ Individuals Accountable	Actual Accomplishment s	Rating				Remarks
					Q ¹	E ²	T ³	A ⁴	
STRATEGIC PRIORITY									
SUPPORT FUNCTIONS									

Average Rating

Category	MFO	Rating
Strategic Priority		
Core functions		
Support Functions		
Total Overall Rating		
Final Average Rating		
Adjectival Rating		

Assessed by: _____

Final Rating by: _____

Date

_____	Date	_____	Date	_____	_____
Planning Office		PMT		Head of Agency	

Legend: 1- Quantity 2- Efficiency 3- Timeliness 4- Average

B. Individual Performance Commitment and Review Form

INDIVIDUAL PERFORMANCE COMMITMENT AND REVIEW (IPCR)

I, _____ of the _____ Division of _____
commit to deliver and agree to be rated on the attainment of the following targets in accordance with the indicated measures for the period
_____ to _____, 20_____

Ratee
Date: _____

Reviewed by	Date	Approved by	Date
_____	_____	_____	_____
Immediate Supervisor		Head of Office	

Output	Success Indicator (Target + Measure)	Actual Accomplishments	Rating				Remarks
			Q	E	T	A	
Strategic Priority No:							
Output 1							
Output 2							
Core Function:							
Output 1							
Output 2							
Final Average Rating							

Comments and Recommendations for Development Purposes

Discussed with	Date	Assessed by	Date	Final Rating by	Date
_____	_____	I certify that I discussed my assessment of the performance with the employee	_____	_____	_____
Employee		Supervisor		Head of Office	

Legend: 1 - Quantity 2 - Efficiency 3 - Timeliness 4 - Average

C. SUCCESS INDICATORS

Hereunder are some samples of success indicators of the different sectors of government

Major Final Outputs	PERFORMANCE MEASURES ¹⁰	PERFORMANCE TARGETS¹¹	SUCCESS INDICATOR¹² Measures + Targets	Organizational Outcome/ Sectoral Goals
Cases Adjudicated	Response time	Within 40 days from the time the case is ripe for decision	Percentage of cases adjudicated within 40 days from the time the case is ripe for decision	Accountability of Civil Servants Promoted
Policies/Guidelines Formulated	Acceptability	Management approval upon first presentation within set deadline	Policies approved upon first presentation within set timeframe	Merit & Reward System in the Civil Service Strengthened
Opinions & Rulings Rendered	Response time as provided under RA 6713 Efficiency Rating (no. of requests acted upon/requests received)	Within 15 days from receipt of request All requests for opinions and rulings acted upon within 15 days from receipt	100% of requests for opinions and rulings acted upon within 15 days from receipt of request 100% of requests for opinions and rulings acted upon within 15 days from receipt of request	Improved Public Service Delivery
Regulatory Services for Health Products	Price list of essential drugs	Reduction in prices of essential drugs	Reduce prices of essential drugs by 50%	Access to quality & affordable health products & services assured
Tertiary & Other Specialized Health Care Provided	Death rates	Death rate percentage reduced	Net death rate reduced to 2.5% and below	Improved health status of the population
Job Search-Assistance Services For Wage Employment	Effectiveness	Decrease unemployment rate by 20%	20% decrease in unemployment rate	A gainfully employed workforce
Public Elementary Education Services	Number of students from Grade I-VI Number of underweight students from Grade I-VI	Decrease percentage of underweight children from Grade I to Grade VI	Decrease percentage of underweight children to 16% of the total Grade I-VI population	Functionally, literate Filipino children, youth and adult learners

¹⁰ Performance measures are always tied to a goal or an objective (the target). Performance measures can be represented by single dimensional units like hours, meters, nanoseconds, dollars, number of reports, number of errors, number of CPR-certified employees, length of time to design hardware, etc

¹¹ The goal intended to be attained (and which is believed to be attainable)

¹² Success Indicators are quantifiable measurements, agreed to beforehand, that reflect the critical success factors of an organization. They will differ depending on the organization.



D. Sample SPMS Calendar

Activity	Submit to	Schedule											
		Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
1. Performance Planning and Commitment													
OPCR for review	PMT										5 th		
PMT review report	Commission											5 th	
Commission approval of OPCR													5 th
IPCR	Head of Office	5 th						5 th					
	OPMD	10 th						10 th					
2. Performance Monitoring and Coaching													
Monitoring by													
▪ Commission		Once a year											
▪ OPMIS		Per semester											
▪ Director IV/III		Regular basis											
▪ Division Chief/Director II		Regular basis											
▪ Individual staff		Regular basis											
Form	OPMIS	After EO Quarter											
3. Performance Review and Feedback													
OPCR	OPMIS	15 th						15 th					
OPMIS to review, evaluate and validate OPCR against targets and return validated OPCR to COs and ROs													
➤ Luzon		22 th						22 th					
➤ Visayas		30 th						30 th					
➤ Mindanao		30 th						30 th					
➤ Central Offices			8 th						8 th				
OPMIS to submit Office performance assessment and facilitate performance review by the Commission	Commission		25 th						25 th				
Annual Performance Review	Commission												15 th
IPCR	Head of Office		25 th						25 th				
Heads of Office submit IPCR	OPMD		EO mo						EO mo				
4. Performance Rewarding and Development Planning													
PMT to submit Top performers list	Commission			15 th									
OPMD's Office Performance Assessment	OFAM			15 th									

Note: In the event that the deadline falls on a non-working holiday, submission will be on the next working day.

E. Sample Summary List of Individual Performance Ratings

Office A

Performance Assessment: Very Satisfactory

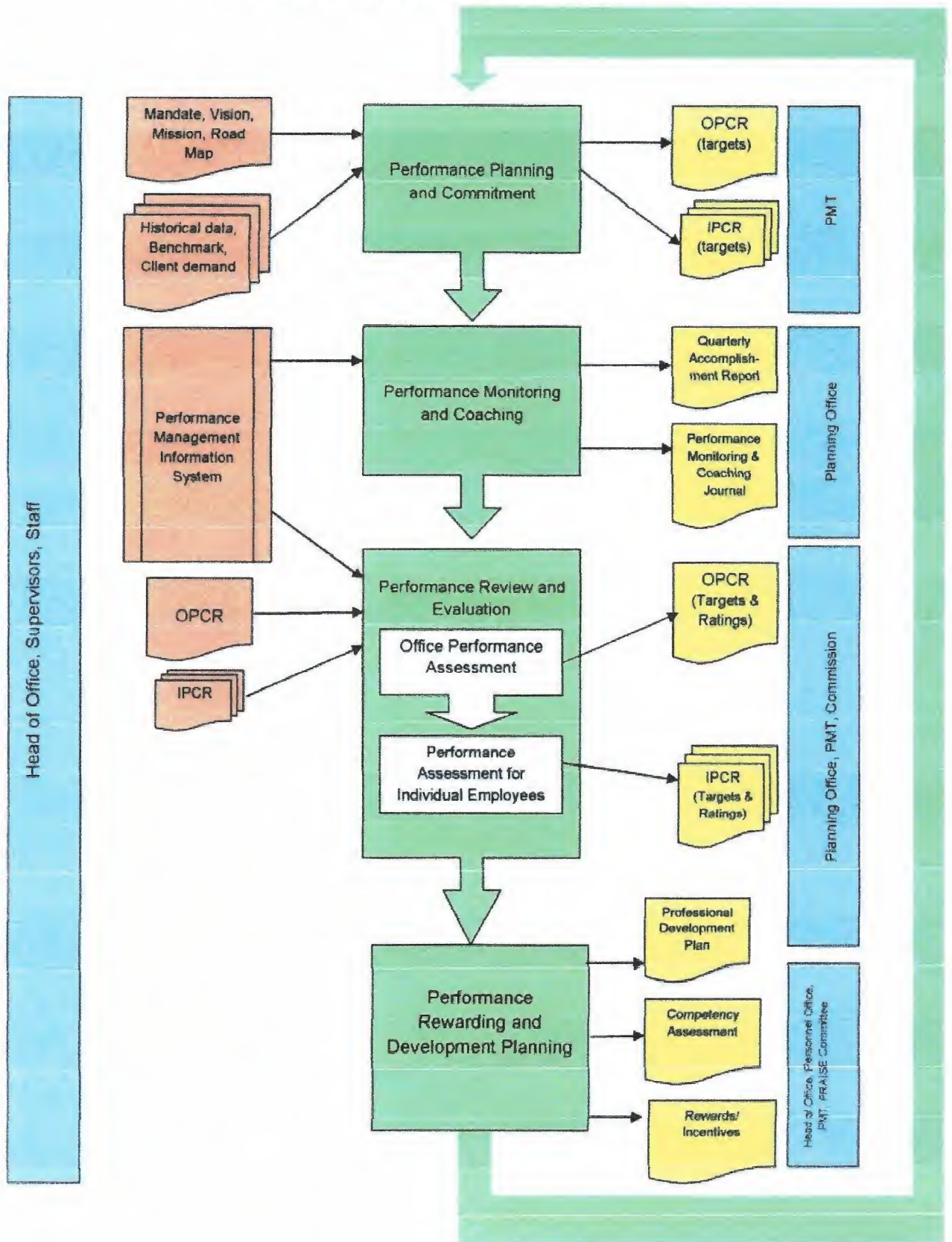
Division A	Rating	
	Numerical	Adjectival
Division A Rating	4	Very Satisfactory
Employee 1	4	Very Satisfactory
Employee 2	5	Outstanding
Employee 3	3	Satisfactory
Employee 4	4	Very Satisfactory
Employee 5	4	Very Satisfactory
No. of Employees = 5		
Average ratings of staff	20/5=4	Very Satisfactory

Division B	Rating	
	Numerical	Adjectival
Division B Rating	3	Satisfactory
Employee 1	3	Satisfactory
Employee 2	4	Very Satisfactory
Employee 3	2	Unsatisfactory
Employee 4	3	Satisfactory
No. of Employees (Including DC) = 4 Average ratings of staff	12/4=3	Satisfactory

Division C	Rating	
	Numerical	Adjectival
Division C Rating	5	Outstanding
Employee 1	5	Outstanding
Employee 2	4	Very Satisfactory
Employee 3	5	Outstanding
Employee 4	4	Very Satisfactory
No. of Employees (Including DC) = 4 Average ratings of staff	18/4=4.5	Outstanding

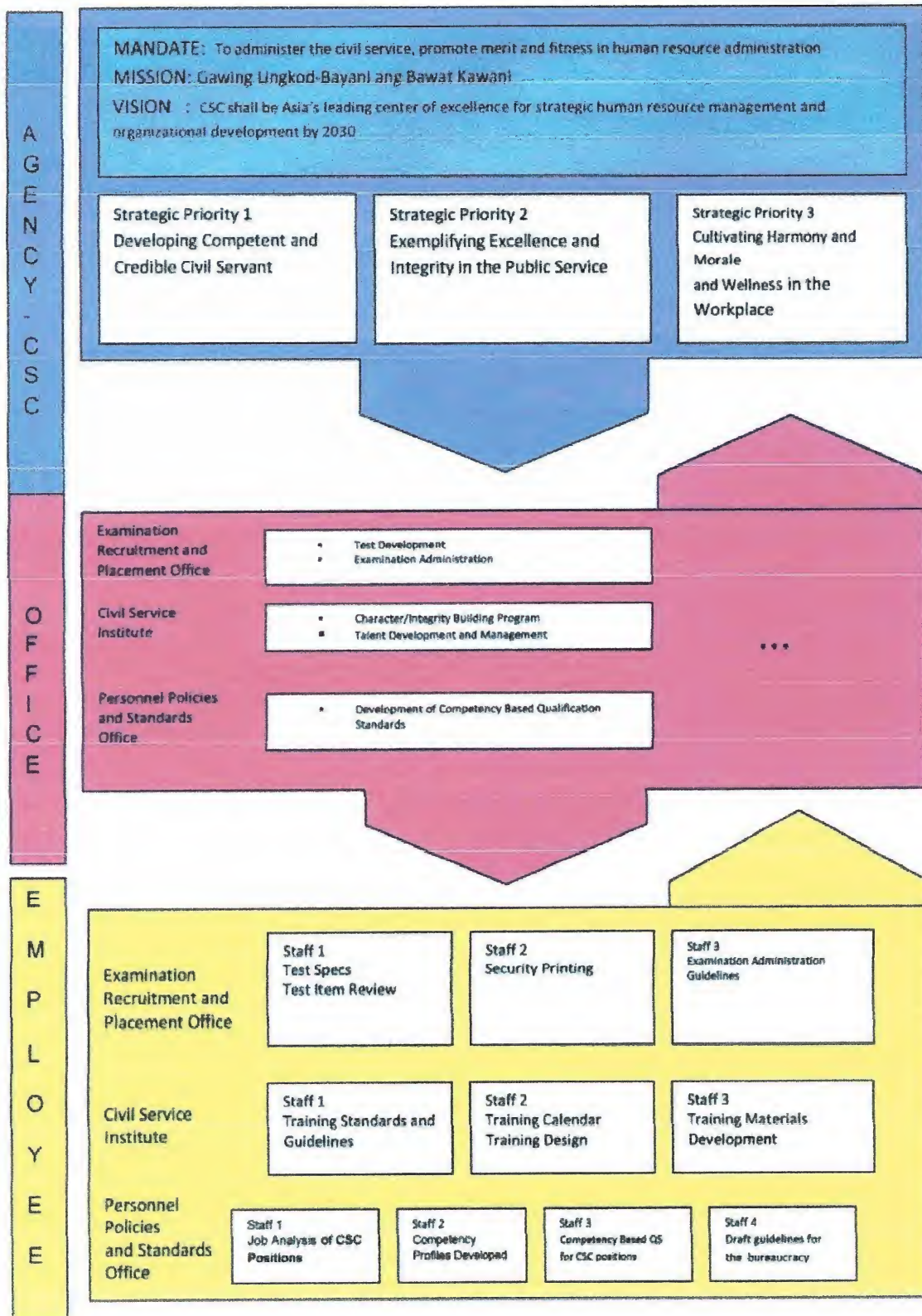
Summary:	Division A	4	Very Satisfactory
	Division B	3	Satisfactory
	Division C	5	Outstanding
	Average	$12/3 = 4$	Very Satisfactory

F. PMS PROCESS FLOWCHART



G. Performance Planning & Commitment

(Illustration showing Cascading of Agency Mandate/Strategic Priorities/OPIF to Office & Individual Commitments)



H. Sample Performance Monitoring and Coaching Journal

	1 st	Q u a r t e r
	2 nd	
	3 rd	
	4 th	

Name of Division/Field Office _____
Division Chief / Director II _____
Number of Personnel in the Division / FO _____

Activity	Mechanism/s				Remarks
	Meeting		Memo	Others (Pls. Specify)	
	One-in-One	Group			
Monitoring					
Coaching					

Please indicate the date in the appropriate box when the monitoring was conducted.

Conducted by:	Date:	Noted by:	Date:
Immediate Superior		Head of Office	

I. Performance Monitoring and Coaching

(Illustration showing a Sample Tracking Tool for Monitoring Targets)

Major Final Output	Tasks	Assigned to	Duration	Task Status				Remarks
				Week 1	Week 2	Week 3	Week 4	
Test Item	1.1 Conduct of Test Item Workshop	Staff A	Jan 5--10					
	1.2 Review of Test Items	Staff D	Jan 5-10					
Test Bank Database	2.1 Encoding of Test Item	Staff B	Jan 12-17					
	2.2 Updating of Test Item Properties	Staff B	continuing					
	2.3 Management/Maintenance of Test Bank Database	Staff B	continuing					
Exam Calendar and Announcement	3.1 Consultation with CSCROs	Staff D						
	3.2 Preparation of Calendar/Announcement	Staff D	By January 10					
	3.3 Presentation of Calendar/Announcement	Staff D	By January 12					
	3.4 Dissemination of Calendar/Announcement	Staff D	By January 15					
Exam-Conduct Action Plan	4.1 Constitution of Exam Committees	Director	EO April					
	4.2 Determination of Testing Centers/Test Administrators	Staff C	EO February					
	4.3 Preparation of Budget Estimate (Income and Expenses)	Staff F	EO April					
Non-Confidential Examination Documents	5.1 Preparation of Examiner's Manual	Staff E	March 1-30					
	5.2 Reproduction of Examination Documents	Staff M	May 10-15					
	5.3 Dissemination of Examination Documents	Staff N	May 15-17					
Processed Examination Application	6.1 Review and Evaluation of Application	Staff O	Continuing					
	6.2 Batching of Application	Staff P	May 1-5					

J. Performance Monitoring and Coaching
(Illustration showing a Sample Tracking Tool for Monitoring Assignments)

Performance Monitoring Form						
Task ID No.	Subject	Action Officer	Output	Date Assigned	Date Accomplished	Remarks
<i>Document No. or Task No. if Taken from WFP</i>	<i>Subject Area of the Task or the Signatory of the Document and Subject Area</i>			<i>Date the task was assigned to the drafter</i>	<i>Date the Output was approved by the approver</i>	



K. Performance Rewarding and Development
(Illustration showing a Professional Development Plan Template)

Professional Development Plan
Date:

Target date	
Review date	
Achieved date	

Aim	
Objective	

Task	Next step
Comments	

Professional Development Plan

Date	
Aim	
Objective	
Target date	
Review date	
Achieved date	
Comments	
Task	
Outcome	
Next step	



TANZA WATER DISTRICT

